

**Department of Education**  
**HIGHER EDUCATION**  
**Fiscal Year 2009 Budget Request**  
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## HIGHER EDUCATION

For carrying out, to the extent not otherwise provided, titles [II,] III, IV, V, VI, and VII of the Higher Education Act of 1965 ("HEA"), [section 1543 of the Higher Education Amendments of 1992,]<sup>1</sup> the Mutual Educational and Cultural Exchange Act of 1961, [title VIII of the Higher Education Amendments of 1998,<sup>2</sup> part I of subtitle A of title VI of the America COMPETES Act,<sup>3</sup> and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006,]<sup>4</sup> and subtitle C of title VI of the America COMPETES Act,<sup>5</sup> [\$2,057,801,000]\$1,733,684,000:

*Provided*, That [~~\$9,699,000~~]\$9,844,000, to remain available through September 30, [2009]2010, shall be available to fund fellowships for academic year [2009-2010]2010-2011 under subpart 1 of part A of title VII of the HEA, under the terms and conditions of such subpart 1:<sup>6</sup> *Provided further*, That [~~\$620,000~~]\$1,609,000 is for data collection and evaluation activities for programs under the HEA, including such activities needed to comply with the Government Performance and Results Act of 1993:<sup>7</sup> *Provided further*, That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:<sup>8</sup> *Provided further*, That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities<sup>9</sup>: *Provided further*, That the funds provided for title II of the HEA shall be allocated notwithstanding section 210 of such Act:<sup>10</sup> *Provided further*, That \$100,668,000 of the funds for part B of title VII of the Higher Education Act of 1965 shall be available for the projects and in the amounts specified in the explanatory statement described in

section 4 (in the matter preceding division A of this consolidated Act)].<sup>11</sup> (*Department of Education Appropriations Act, 2008*)

Note.—Each language provision that is followed by a footnote reference is explained in the Analysis of Language Provisions and Changes document which follows the appropriation language.

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>1</sup> ...[section 1543 of the Higher Education Amendments of 1992,...]	This language, which provides funds for B.J. Stupak Olympic Scholarships, is deleted because funds are not requested for the program.
<sup>2</sup> ...[title VIII of the Higher Education Amendments of 1998,...]	This language, which provides funds for the Underground Railroad program, is deleted because funds are not requested for the program.
<sup>3</sup> ...[part I of subtitle A of title VI of the America COMPETES Act,...]	This language, which provides funds for both the Baccalaureate and Master's STEM and Foreign Language Teacher Training programs under Teachers for a Competitive Tomorrow, is deleted because funds are not requested for the programs.
<sup>4</sup> ...[and section 117 of the Carl D. Perkins Career and Technical Education Act of 2006,...]	This language, which provides funds for the Tribally Controlled Postsecondary Career and Technical Institutions program, is deleted because no funds are requested for the program.
<sup>5</sup> ... <u>and subtitle C of title VI of the America COMPETES Act</u> ,...	This language, which authorizes the Advancing America Through Foreign Language Partnerships program, to develop fully articulated language programs of study in languages critical to U.S. national security, is added because funding is requested for the program.

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<p><sup>6</sup> <i>Provided</i>, That [<del>\$9,699,000</del>]<u>\$ 9,844,000</u>, to remain available through September 30, [<del>2009</del>]<u>2010</u>, shall be available to fund fellowships for academic year [<del>2009-2010</del>]<u>2010-2011</u> under subpart 1 of part A of title VII of the HEA, under the terms and conditions of such subpart 1:</p>	<p>This language provides that funds appropriated for Javits Fellowships shall remain available for obligation for 2 years in order to provide fellowships for academic year 2010-2011.</p>
<p><sup>7</sup> <i>Provided further</i>, That [<del>\$620,000</del>]<u>\$1,609,000</u> is for data collection and evaluation activities for programs under the HEA, including such activities needed to comply with the Government Performance and Results Act of 1993:</p>	<p>This language authorizes and provides funds to support program evaluations and data collection requirements under the Government Performance and Results Act.</p>
<p><sup>8</sup> <i>Provided further</i>, That notwithstanding any other provision of law, funds made available in this Act to carry out title VI of the HEA and section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 may be used to support visits and study in foreign countries by individuals who are participating in advanced foreign language training and international studies in areas that are vital to United States national security and who plan to apply their language skills and knowledge of these countries in the fields of government, the professions, or international development:</p>	<p>This language permits International Education programs authorized under title VI of the Higher Education Act (HEA) and the Mutual Educational and Cultural Exchange Act of 1961 (MECEA) to use funds for visits and study in foreign countries by individuals (in addition to teachers and prospective teachers) who plan to apply their language skills and knowledge in world areas that are vital to United States national security in the fields of government, the professions, or international development.</p>
<p><sup>9</sup> <i>Provided further</i>, That of the funds referred to in the preceding proviso up to 1 percent may be used for program evaluation, national outreach, and information dissemination activities</p>	<p>This language authorizes the use of funds for program evaluation, national outreach, and information dissemination activities at a level that is up to 1 percent of the amount appropriated for International Education programs authorized by title VI of the HEA and section 102(b)(6) of the MECEA.</p>

## HIGHER EDUCATION

### Analysis of Language Provisions and Changes

Language Provision	Explanation
<sup>10</sup> [ <i>Provided further</i> , That the funds provided for title II of the HEA shall be allocated notwithstanding section 210 of such Act:]	This language overrides the statutory requirement that, of the funds appropriated for Teacher Quality Enhancement, 45 percent be allocated for State Grants, 45 percent for Partnership Grants, and 10 percent for Recruitment Grants. This language is deleted because no funds are requested for this program.
<sup>11</sup> [ <i>Provided further</i> , That \$100,668,000 of the funds for part B of title VII of the Higher Education Act of 1965 shall be available for the projects and in the amounts specified in the explanatory statement described in section 4 (in the matter preceding division A of this consolidated Act)].	This language earmarks funds appropriated for the Fund for the Improvement of Postsecondary Education for specified projects. This language is deleted because no funds for specified projects are requested.

## HIGHER EDUCATION

### Amounts Available for Obligation (\$000s)

	2007	2008	2009
Discretionary appropriation:			
Annual appropriation.....	\$1,951,053	\$2,057,801	\$1,733,684
Across-the-board reduction.....	<u>0</u>	<u>-35,950</u>	<u>0</u>
Subtotal, discretionary appropriation .....	1,951,053	2,021,851	1,733,684
Supplemental, P.L. 110-28 .....	<u>30,000</u>	<u>0</u>	<u>0</u>
Subtotal, adjusted discretionary appropriation.....	1,981,053	2,021,851	1,733,684
Mandatory appropriation .....	<u>0</u>	<u>378,000</u>	<u>378,000</u>
Subtotal, discretionary and mandatory appropriation.....	1,981,053	2,399,851	2,111,684
Unobligated balance, start of year .....	14,358	13,767	13,202
Recovery of prior year obligations .....	5	0	0
Unobligated balance expiring.....	-69	0	0
Unobligated balance, end of year .....	<u>-13,767</u>	<u>-13,202</u>	<u>-12,747</u>
Total, obligations.....	1,981,580	2,400,416	2,112,139

**HIGHER EDUCATION**

**Obligations by Object Classification**  
(\$000s)

	2007	2008	2009
Printing and reproduction.....	\$29	\$45	\$50
Other contractual services:			
Advisory and assistance services .....	3,889	3,609	4,609
Other services .....	3,031	3,573	3,573
Peer review .....	730	4,731	2,917
Purchases of goods and services .....	2,054	1,880	2,030
Operation and maintenance of equipment .....	<u>746</u>	<u>1,322</u>	<u>1,322</u>
Subtotal .....	10,450	15,115	14,451
Grants, subsidies, and contributions .....	<u>1,971,101</u>	<u>2,385,256</u>	<u>2,097,638</u>
Total, obligations.....	1,981,580	2,400,416	2,112,139



**HIGHER EDUCATION**

**Summary of Changes**  
(\$000s)

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2008 .....	\$2,021,851
2009 .....	<u>1,733,684</u>
Net change	-288,167

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	<u>2008 base</u>	<u>Change from base</u>
<b>Increases:</b>		
<u>Program:</u>		
Increase funding for International Education and Foreign Language Studies (IEFLS) Domestic Programs to support the development of new assessment tools for measuring improvements in language competency in the IEFLS programs.	\$93,941	+ \$1,000
Increase funding for Javits Scholarships in line with inflation in order to arrest the long-term erosion of the program.	9,530	+314
Increase funding for Graduate Assistance in Areas of National Need in order to arrest the long-term erosion of the program and to provide funding for a special priority to address the acute shortages in the field of psychometrics.	29,542	+2,975
Increase funding for GPRA data/HEA Evaluation to collect and analyze performance data and to conduct program evaluations for those higher education programs that lack funding set-asides to do so.	609	+1,000
Establish the Advancing America Through Foreign Language Partnerships program to develop fully articulated language programs of study in languages critical to U.S. national security.	0	<u>+24,000</u>
Subtotal, increases		+29,289

## HIGHER EDUCATION

### Summary of Changes (\$000s)

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	<u>2008 base</u>	<u>Change from base</u>
<b>Decreases:</b>		
<u>Program:</u>		
Eliminate funding for the Strengthening Tribally Controlled Colleges and Universities program under Aid for Institutional Development because \$30 million in mandatory funding is provided for this program in fiscal year 2009 under the College Cost Reduction and Access Act (CCRAA).	\$23,158	-\$23,158
Eliminate funding for the Strengthening Alaska Native and Native Hawaiian-serving Institutions program under Aid for Institutional Development because the types of activities supported by this program may be carried out under the Title III Strengthening Institutions program and because \$15 million in mandatory funding is provided for this program in fiscal year 2009 under the CCRAA.	11,579	-11,579
Decrease funding for the Strengthening Historically Black Colleges and Universities (HBCUs) program under Aid for Institutional Development because \$85 million in mandatory funding is provided for this program in fiscal year 2009 under the CCRAA.	238,095	-85,000
Decrease funding for the Developing Hispanic-serving Institutions program because \$100 million in mandatory funding is provided in fiscal year 2009 for this program under the CCRAA.	93,256	-18,814
Decrease funding for the Fund for the Improvement of Postsecondary Education because no funding is requested for earmarks.	120,333	-82,900
Eliminate funding for Demonstration Projects to Ensure Quality Higher Education for Students with Disabilities because projects to improve the quality of education for disabled students can be funded under other Federal programs.	6,755	-6,755

## HIGHER EDUCATION

### Summary of Changes (\$000s)

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	<u>2008 base</u>	<u>Change from base</u>
<b>Decreases:</b>		
<u>Program:</u>		
Eliminate funding for Tribally Controlled Postsecondary Career and Technical Institutions program because program recipients are eligible for competitive grants under other Federal programs, including discretionary funding under the Strengthening Tribally Controlled Colleges and Universities program and mandatory funding in fiscal years 2008 and 2009 under the CCRAA.	\$7,546	-\$7,546
Eliminate funding for Byrd Honors Scholarships because of the availability of assistance under other Federal student financial assistance programs.	40,284	-40,284
Eliminate funding for Thurgood Marshall Legal Educational Opportunity Program because of the availability of assistance under other Federal student financial assistance programs.	2,895	-2,895
Eliminate funding for B.J. Stupak Olympic Scholarships because of the availability of assistance under other Federal student financial assistance programs.	953	-953
Eliminate funding for Teachers for a Competitive Tomorrow: Baccalaureate STEM and Foreign Language Teacher Training program because activities can be funded under other Federal programs.	983	-983
Eliminate funding for Teachers for a Competitive Tomorrow: Master's STEM and Foreign Language Teacher Training program because activities can be funded under other Federal programs.	983	-983
Eliminate funding for Teacher Quality Enhancement Grants because activities can be funded under other Federal programs.	33,662	-33,662

## HIGHER EDUCATION

### Summary of Changes (\$000s)

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	<u>2008 base</u>	<u>Change from base</u>
<b>Decreases:</b>		
<u>Program:</u>		
Eliminate funding for the Underground Railroad program due to its limited national impact.	\$1,945	<u>-\$1,945</u>
Subtotal, decreases		-317,457
Net change		-288,167 <sup>1</sup>

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<sup>1</sup> Figures do not add due to rounding.

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## HIGHER EDUCATION

### Authorizing Legislation (\$000s)

Activity	2008 Authorized	2008 Estimate	2009 Authorized	2009 Request
Aid for institutional development:				
Strengthening institutions ( <i>HEA-III-A-311</i> )	Indefinite <sup>1</sup>	\$78,146	To be determined <sup>1</sup>	\$78,146
Strengthening tribally controlled colleges and universities ( <i>HEA-III-A-316</i> )	Indefinite <sup>1</sup>	23,158	0 <sup>1</sup>	0
Additional funds for Strengthening tribally controlled colleges and universities ( <i>HEA-IV-J</i> )	\$30,000 <sup>2</sup>	30,000	\$30,000 <sup>2</sup>	30,000 <sup>2</sup>
Strengthening Alaska Native and Native Hawaiian-serving institutions ( <i>HEA-III-A-317</i> )	Indefinite <sup>1</sup>	11,579	0 <sup>3</sup>	0
Additional funds for Strengthening Alaska Native and Native Hawaiian-serving institutions ( <i>HEA-IV-J</i> )	15,000 <sup>2</sup>	15,000	15,000 <sup>2</sup>	15,000 <sup>2</sup>
Strengthening historically black colleges and universities ( <i>HEA-III-B-323</i> )	Indefinite <sup>1</sup>	238,095	To be determined <sup>1</sup>	153,095
Additional funds for Strengthening historically black colleges and universities ( <i>HEA-IV-J</i> )	85,000 <sup>2</sup>	85,000	85,000 <sup>2</sup>	85,000 <sup>2</sup>
Strengthening historically black graduate institutions ( <i>HEA-III-B-326</i> )	Indefinite <sup>1</sup>	56,903	To be determined <sup>1</sup>	56,903
Minority science and engineering improvement ( <i>HEA-III-E-1</i> )	Indefinite <sup>1</sup>	8,577	To be determined <sup>1</sup>	8,577
Strengthening predominantly black institutions ( <i>HEA-IV-J</i> )	15,000 <sup>2</sup>	15,000	15,000 <sup>2</sup>	15,000 <sup>2</sup>
Strengthening Asian American and Native American Pacific Islander-serving institutions ( <i>HEA-IV-J</i> )	5,000 <sup>2</sup>	5,000	5,000 <sup>2</sup>	5,000 <sup>2</sup>
Strengthening Native American-serving nontribal institutions ( <i>HEA-IV-J</i> )	5,000 <sup>2</sup>	5,000	5,000 <sup>2</sup>	5,000 <sup>2</sup>

**HIGHER EDUCATION**

**Authorizing Legislation  
(\$000s)**

Activity	2008 Authorized	2008 Estimate	2009 Authorized	2009 Request
Other aid for institutions:				
Developing Hispanic-serving institutions ( <i>HEA-V</i> )	Indefinite <sup>1</sup>	\$93,256	To be determined <sup>1</sup>	\$74,442
Developing HSI STEM and articulation programs ( <i>HEA-IV-J (B)</i> )	\$100,000 <sup>2</sup>	100,000	\$100,000 <sup>2</sup>	100,000 <sup>2</sup>
International education and foreign language studies:				
Domestic programs ( <i>HEA-VI-A and B</i> )	Indefinite <sup>1</sup>	93,941	To be determined <sup>1</sup>	94,941
Overseas programs ( <i>MECEA-102(b)(6)</i> )	Indefinite	13,372	Indefinite	13,372
Institute for international public policy ( <i>HEA-VI-C</i> )	Indefinite <sup>1</sup>	1,670	To be determined <sup>1</sup>	1,670
Fund for the improvement of postsecondary education ( <i>HEA-VII-B</i> )	Indefinite <sup>1</sup>	120,333	To be determined <sup>1</sup>	37,433
Demonstration projects to ensure quality higher education for students with disabilities ( <i>HEA-VII-D</i> )	Indefinite <sup>3</sup>	6,755	0 <sup>3</sup>	0
Tribally controlled postsecondary career and technical institutions ( <i>Carl D. Perkins CTEA section 117</i> )	Indefinite	\$7,546	Indefinite	0
Assistance for students:				
Federal TRIO programs ( <i>HEA-IV-A-2-1</i> )	Indefinite <sup>1</sup>	828,178	To be determined <sup>1</sup>	828,178
Additional funds for Upward Bound ( <i>HEA 402C(f)</i> )	57,000 <sup>2</sup>	57,000	57,000 <sup>2</sup>	57,000 <sup>2</sup>
Gaining early awareness and readiness for undergraduate programs ( <i>HEA-IV-A-2-2</i> )	Indefinite <sup>1,4</sup>	303,423	To be determined <sup>1</sup>	303,423
Scholarships and fellowships:				
Byrd honors scholarships ( <i>HEA-IV-A-6</i> )	Indefinite <sup>3</sup>	40,284	0 <sup>3</sup>	0
Javits fellowships ( <i>HEA-VII-A-1</i> )	Indefinite <sup>1</sup>	9,530	To be determined <sup>1</sup>	9,844
Graduate assistance in areas of national need ( <i>HEA-VII-A-2</i> )	Indefinite <sup>1</sup>	29,542	To be determined <sup>1</sup>	32,517
Thurgood Marshall legal educational opportunity program ( <i>HEA-VII-A-3</i> )	5,000 <sup>3</sup>	2,895	0 <sup>3</sup>	0

## HIGHER EDUCATION

### Authorizing Legislation (\$000s)

Activity	2008 Authorized	2008 Estimate	2009 Authorized	2009 Request
B.J. Stupak Olympic scholarships ( <i>Higher Education Amendments of 1992, Section 1543</i> )	0 <sup>3</sup>	953	0 <sup>3</sup>	0
Child care access means parents in school ( <i>HEA-IV-A-7</i> )	Indefinite <sup>1</sup>	\$15,534	To be determined <sup>1</sup>	\$15,534
Teachers for a competitive tomorrow: Baccalaureate STEM and foreign language teacher education ( <i>America COMPETES Act, Sec. 6113</i> )	\$151,200	983	Indefinite	0
Teachers for a competitive tomorrow: Master's STEM and foreign language teacher education ( <i>America COMPETES Act, Sec. 6114</i> )	125,000	983	Indefinite	0
Teacher quality enhancement ( <i>HEA-II-A</i> )	Indefinite <sup>3</sup>	33,662	0 <sup>3</sup>	0
GPRA data/HEA program evaluation ( <i>Department of Education Appropriations Act, 2008</i> )	0 <sup>5</sup>	609	0 <sup>5</sup>	1,609
Underground railroad program ( <i>Higher Education Amendments of 1998-VIII-H</i> )	0 <sup>6</sup>	1,945	0 <sup>6</sup>	0
Advancing America through foreign language partnerships ( <i>America COMPETES Act-VI-C</i> )	28,000	0	Indefinite	24,000
College access challenge grant program ( <i>HEA-VII-E</i> )	66,000 <sup>2</sup>	66,000	\$66,000 <sup>2</sup>	66,000 <sup>2</sup>
Unfunded authorizations:				
Interest subsidy grants ( <i>HEA-I-121</i> )	Indefinite <sup>1</sup>	0	To be determined <sup>1</sup>	0
Endowment challenge grants ( <i>HEA-III-C-331</i> )	Indefinite <sup>3</sup>	0	0 <sup>3</sup>	0
Learning anytime anywhere partnerships ( <i>HEA-IV-A-8</i> )	Indefinite <sup>3</sup>	0	0 <sup>3</sup>	0
Urban community service ( <i>HEA-VII-C</i> )	Indefinite <sup>3</sup>	0	0 <sup>3</sup>	0

**HIGHER EDUCATION**

**Authorizing Legislation  
(\$000s)**

Activity	2008 Authorized	2008 Estimate	2009 Authorized	2009 Request
Grants to combat violent crimes against women on campuses ( <i>HEA-VIII-E</i> )	<u>Indefinite</u> <sup>3</sup>	<u>0</u>	<u>0</u> <sup>3</sup>	<u>0</u>
Total definite authorization	\$411,000		\$378,000	
Total discretionary appropriation		\$2,021,851		\$1,733,684
Portion of request subject to reauthorization				1,732,075
Portion of request not authorized				1,609
Total mandatory appropriation		378,000		378,000

<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

<sup>2</sup> The authorization for mandatory funding will expire on September 30, 2009. Mandatory funds are made available by the College Cost Reduction and Access Act, P.L. 110-84 (September 27, 2007; 121 Stat. 784). These funds are not part of the Administration's fiscal year 2009 request.

<sup>3</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is not sought.

<sup>4</sup> Of the amount appropriated, not less than 33 percent shall be used for State Grants and not less than 33 percent shall be used for Partnership Grants.

<sup>5</sup> The program is authorized in FY 2008 through appropriations language. The Administration proposes to continue funding this program in FY 2009 through appropriations language.

<sup>6</sup> The GEPA extension expired September 30, 2004. This program was authorized in FY 2008 through appropriations language. The Administration is not proposing appropriations language for FY 2009, nor seeking reauthorizing legislation.



## HIGHER EDUCATION

### Appropriations History (\$000s)

	Budget Estimate to Congress	House Allowance	Senate Allowance	Appropriation
2000	\$1,579,206	\$1,151,786	\$1,396,631	\$1,533,659
2000 Reappropriation	---	---	---	450
2000 Rescission	---	---	---	-4,080
2000 Supplemental	---	---	---	750
2001	1,795,973	1,688,081	1,694,520	1,911,710
2002	1,723,223	1,908,151	1,826,223	2,028,048
2003	1,883,053	1,903,553	2,047,640	2,087,046
2003 Technical Amendment				-546
2004	1,904,438	1,980,991	1,977,482	2,092,644
2004 Rescission	---	---	---	-795
2005	1,977,028	1,976,056	2,148,458	2,117,195
2005 Rescission	---	---	---	-496
2006	1,202,315	1,936,936	2,112,958	1,951,052
2007	1,108,711	N/A <sup>1</sup>	N/A <sup>1</sup>	1,951,053 <sup>1,2</sup>
2008 Discretionary	1,837,737	2,184,533	2,040,302	2,021,851
2008 Mandatory		378,000 <sup>3</sup>	378,000 <sup>3</sup>	378,000 <sup>3</sup>
2009 Discretionary	1,733,684			
2009 Mandatory	378,000 <sup>3</sup>			

<sup>1</sup> This account operated under a full-year continuing resolution (P.L. 110-5). House and Senate Allowance amounts are shown as N/A (Not Available) because neither body passed a separate appropriations bill.

<sup>2</sup> Total excludes \$30,000 thousand appropriated in Chapter 7 of P.L. 110-28, the Troops Readiness, Veterans' Care, Katrina Recovery, and Iraq Accountability Appropriations Act of 2007, May 25, 2007.

<sup>3</sup> Mandatory funds are made available by the College Cost Reduction and Access Act, P.L. 110 84 (September 27, 2007; 121 Stat. 784). These funds are not part of the Administration's fiscal year 2009 budget request. The authorization for mandatory funding will expire on September 30, 2009.

## HIGHER EDUCATION

### Significant Items in FY 2008 Appropriations Reports

#### **Strengthening Tribally Controlled Colleges and Universities (TCCUs)**

House: In past years, the Committee has supported a competitive grant program to assist institutions in addressing long overdue and high-priority infrastructure and facilities requirements. The Committee intends for the funds provided to be used to support continuation of existing grants and new planning or developmental grants. Any remaining funds shall be available for grants for renovation and construction of facilities to continue to address urgently needed facilities repair and expansion.

Response: In fiscal year 2008, the Department intends to fund all continuation grants estimated at \$12.6 million; and conduct a competition for new development and construction grants with the remaining funds. In addition, the College Cost Reduction and Access Act authorizes and provides \$30 million in mandatory funding for the Strengthening Tribally Controlled Colleges and Universities Program to be awarded as competitive grants and used for activities currently authorized under the program in fiscal year 2008.

#### **International Education and Foreign Language Studies: Domestic Programs**

##### **Funding Increase for Foreign Language and Area Studies Program (FLAS) Fellowships**

Conference: The Department shall use one-third of the funding increase over fiscal year 2007 for Title VI domestic programs to expand the number of academic year and summer foreign language and area studies fellowships.

Response: The Department will make every effort to comply with this guidance. In fiscal year 2008, the Conference bill provided an additional \$2.4 million for the IEFLS Domestic Programs over the 2007 level. The Department proposes to make a little over one-third of this funding available to provide an additional 20 academic year fellowships, averaging \$27,000 each; and an additional 50 summer fellowships, averaging \$6,500 each for a total of \$865,000 to participants in the FLAS fellowship program.

##### **Funding Increase to Enhance Databases and Improve Dissemination of Information**

Conference: A portion of the increase shall also be used to assist Title VI grantees to enhance databases and develop web portals to improve the dissemination of information produced under these programs to the public.

Response: The Department plans to provide supplements to non-competing continuation (NCCs) grantees for the Centers for International Business Education (CIBE) program to enhance the CIBE web portal and websites. The Department also plans to consult with the Council of Directors of Language Resource Centers (LRCs) and to provide supplements to NCCs for the LRCs to enhance web presence and existing databases. Finally, the Department intends to consult with the Council of National Resource Centers (NRC) as to the most effective method and mechanism for creating a comprehensive web portal for the NRC program.

## HIGHER EDUCATION

### **Prohibition on Use of Funds for Title VI E-Learning Clearinghouse**

Conference: Further, the Appropriations Committees direct that no funds shall be available for an e-learning clearinghouse and any funds diverted from Title VI programs for this purpose shall be restored.

Response: The Department does not plan to spend any fiscal year 2008 Title VI funds for this purpose.

### **International Education and Foreign Language Studies: Overseas Programs**

House: The Committee recommends \$13,610,000 for the overseas programs in international education and foreign language studies authorized under the Mutual Educational and Cultural Exchange Act of 1961, popularly known as the Fulbright-Hays Act. This amount is \$1,000,000 more than the fiscal year 2007 level and the budget request. Funding for these programs support group projects abroad, faculty research abroad, special bilateral projects, and doctoral dissertation research abroad. Fulbright-Hays provides an essential overseas component for research and training of Americans in foreign languages and international studies. Overseas immersion is critical to achieving high levels of foreign language proficiency. Additional funds are intended to increase the number of research and study abroad fellowships and group projects abroad in intermediate and advanced language training in strategic world areas, as well as expand curriculum development and summer seminars abroad for K–12 teachers.

Response: The fiscal year 2008 appropriations bill provides \$13.4 million, an increase of \$762,000 over the 2007 level, for the Overseas Programs. The increase will support 19 additional Group Projects Abroad projects (short-term projects and advanced overseas intensive language projects), and 2 additional Doctoral Dissertation Research Abroad projects and will permit an increase in the average award size of projects funded under the Seminars Abroad program.

### **Federal TRIO Programs**

Conference: SEC. 519. None of the funds made available by this Act may be used to carry out the evaluation of the Upward Bound program described in the absolute priority for Upward Bound Program participant selection and evaluation published by the Department of Education in the Federal Register on September 22, 2006 (71 Fed. Reg. 55447 et seq.).

Response: No funds provided by the Consolidated Appropriations Act, 2008, for TRIO programs will be used for the evaluation of the Upward Bound program described in the aforementioned absolute priority.

## HIGHER EDUCATION

### **Gaining Early Awareness and Readiness for Undergraduate Programs**

House: The Committee intends that \$6,600,000 of the increase over fiscal year 2007 be used for State grants, of which 50 percent must be used to provide student scholarships, and \$13,400,000 be used for partnership grants. The Committee encourages the Department to give favorable consideration in any competitions for GEAR UP funding to partnerships that, in addition to providing early intervention services, guarantee college scholarships to GEAR UP students.

Response: Of the funds provided in fiscal year 2008 above the amount needed for continuing awards, the Department will ensure that the Committee's intentions are honored by utilizing more than \$6.6 million for new State awards and more than \$13.4 million for new partnership grants. In all, the Department expects to provide services to approximately 740,000 students through the GEAR UP program in fiscal year 2008.

### **Teacher Quality Enhancement Program**

Conference: The Committee intends that the increase provided over the amount needed for continuing awards in fiscal year 2008 be used solely for partnership grants to institutions of higher education, schools of arts and sciences, and high-need school districts that are focused on teacher pre-service preparation.

Response: The Department will use all funds above the amount needed for continuing awards in fiscal year 2008 for partnership grants to institutions of higher education, schools of arts and sciences, and high-need school districts that are focused on teacher pre-service preparation.

**DEPARTMENT OF EDUCATION FISCAL YEAR 2009 PRESIDENT'S BUDGET**

(in thousands of dollars)		Category Code	2007 Annual CR Operating Plan	2008 Appropriation	2009 President's Request	Change from 2008 Appropriation	
Office, Account, Program and Activity						Amount	Percent
<b>Higher Education</b>							
1. Aid for institutional development:							
	(a) Strengthening institutions (HEA III-A, section 311)	D	79,535	78,146	78,146	0	0.0%
	(b) Strengthening tribally controlled colleges and universities (HEA III-A, section 316)	D	23,570	23,158	0	(23,158)	-100.0%
	(c) Additional funds for strengthening tribally controlled colleges and universities (HEA-IV-J)	M	<u>0</u>	<u>30,000</u>	<u>30,000</u>	<u>0</u>	<u>0.0%</u>
	Subtotal		23,570	53,158	30,000	(23,158)	-43.6%
	(d) Strengthening Alaska Native and Native Hawaiian-serving institutions (HEA III-A, section 317)	D	11,785	11,579	0	(11,579)	-100.0%
	(e) Additional funds for strengthening Alaska Native or Native Hawaiian-serving Institutions (HEA-IV-J)	M	<u>0</u>	<u>15,000</u>	<u>15,000</u>	<u>0</u>	<u>0.0%</u>
	Subtotal		11,785	26,579	15,000	(11,579)	-43.6%
	(f) Strengthening HBCUs (HEA III-B, section 323)	D	238,095	238,095	153,095	(85,000)	-35.7%
	(g) Additional funds for strengthening HBCUs (HEA-IV-J)	M	<u>0</u>	<u>85,000</u>	<u>85,000</u>	<u>0</u>	<u>0.0%</u>
	Subtotal		238,095	323,095	238,095	(85,000)	-26.3%
	(h) Strengthening historically Black graduate institutions (HEA III-B, section 326)	D	57,915	56,903	56,903	0	0.0%
	(i) Minority science and engineering improvement (HEA III-E-1)	D	8,730	8,577	8,577	0	0.0%
	(j) Strengthening predominantly Black institutions (HEA IV-J)	M	0	15,000	15,000	0	0.0%
	(k) Strengthening Asian American and Native American Pacific Islander-serving Institutions (HEA-IV-J)	M	0	5,000	5,000	0	0.0%
	(l) Strengthening Native American-serving nontribal institutions (HEA-IV-J)	M	<u>0</u>	<u>5,000</u>	<u>5,000</u>	<u>0</u>	<u>0.0%</u>
	Subtotal, Aid for institutional development		419,630	571,458	451,721	(119,737)	-21.0%
2. Other aid for institutions:							
	(a) Developing Hispanic-serving institutions (HEA V)	D	94,914	93,256	74,442	(18,814)	-20.2%
	(b) Developing HSI STEM and articulation programs (HEA IV-J (B))	M	0	100,000	100,000	0	0.0%
	(c) International education and foreign language studies:						
	(1) Domestic programs (HEA VI-A and B)	D	91,541	93,941	94,941	1,000	1.1%
	(2) Overseas programs (MECEA section 102(b)(6))	D	12,610	13,372	13,372	0	0.0%
	(3) Institute for International Public Policy (HEA VI-C)	D	<u>1,600</u>	<u>1,670</u>	<u>1,670</u>	<u>0</u>	<u>0.0%</u>
	Subtotal		105,751	108,983	109,983	1,000	0.9%
	(d) Fund for the Improvement of Postsecondary Education (HEA VII-B)	D	21,989	120,333	37,433	(82,900)	-68.9%
	(e) Demonstration projects to ensure quality higher education for students with disabilities (HEA VII-D)	D	6,875	6,755	0	(6,755)	-100.0%
	(f) Tribally controlled postsecondary career and technical institutions (CTEA section 117)	D	7,366	7,546	0	(7,546)	-100.0%

NOTES: Category Codes are as follows: D = discretionary program; M = mandatory program.  
FY 2008 detail may not add to totals due to rounding.

**DEPARTMENT OF EDUCATION FISCAL YEAR 2009 PRESIDENT'S BUDGET**

**Higher Education (continued)**

3. Assistance for students:						
(a) Federal TRIO programs (HEA IV-A-2, Chapter 1)	D	828,178	828,178	828,178	0	0.0%
(b) Additional funds for Upward Bound (HEA 402C(f))	M	<u>0</u>	<u>57,000</u>	<u>57,000</u>	<u>0</u>	<u>0.0%</u>
Subtotal		828,178	885,178	885,178	0	0.0%
(c) Gaining early awareness and readiness for undergraduate programs (GEAR UP) (HEA IV-A-2, Chapter 2)						
(d) Scholarships and fellowships:	D	303,423	303,423	303,423	0	0.0%
(1) Byrd honors scholarships (HEA IV-A-6)	D	40,590	40,284	0	(40,284)	-100.0%
(2) Javits fellowships (HEA VII-A-1)	D	9,699	9,530	9,844	314	3.3%
(3) Graduate assistance in areas of national need (HEA VII-A-2)	D	30,067	29,542	32,517	2,975	10.1%
(4) Thurgood Marshall legal educational opportunity program (HEA VII-A-3)	D	2,946	2,895	0	(2,895)	-100.0%
(5) B.J. Stupak Olympic scholarships (HE Amendments of 1992, section 1543)	D	970	953	0	(953)	-100.0%
(e) Child care access means parents in school (HEA IV-A-7)	D	15,810	15,534	15,534	0	0.0%
4. Teachers for a competitive tomorrow (America COMPETES Act)						
(a) Baccalaureate STEM and foreign language teacher training (Sec. 6113)	D	0	983	0	(983)	-100.0%
(b) Masters STEM and foreign language teacher training (Sec. 6114)	D	0	983	0	(983)	-100.0%
5. Teacher quality enhancement (HEA II-A)	D	59,895	33,662	0	(33,662)	-100.0%
6. GPRA data/HEA program evaluation (Department of Education Appropriations Act)	D	970	609	1,609	1,000	164.1%
7. Underground railroad program (HE Amendments of 1998, VIII-H)	D	1,980	1,945	0	(1,945)	-100.0%
8. Advancing America through foreign language partnerships (America COMPETES Act VI-C)	D	0	0	24,000	24,000	---
9. College access challenge grant program (HEA VII-E)	M	0	66,000	66,000	0	0.0%
10. Hurricane aid for postsecondary institutions (HEA-VII-B) (non-add)	D	<u>30,000</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>---</u>
<b>Total</b>	<b>D</b>	<b>1,951,053</b>	<b>2,399,851</b>	<b>2,111,684</b>	<b>(288,167)</b>	<b>-12.0%</b>
Discretionary		1,951,053	2,021,851	1,733,684	(288,167)	-14.3%
Mandatory		0	378,000	378,000	0	0.0%
 <i>Outlays</i>		 1,951,192	 2,092,507	 2,317,134	 224,627	 10.7%
Discretionary	D	1,951,192	2,073,607	2,041,194	(32,413)	-1.6%
Mandatory	M	0	18,900	275,940	257,040	1360.0%

## HIGHER EDUCATION

### Summary of Request

The Administration's request for fiscal year 2009 includes \$1.7 billion for programs in the Higher Education account. The request would maintain support for the majority of Higher Education programs, which are proposed for reauthorization in the Higher Education Act. These programs would continue to complement the Administration's commitment to elementary and secondary education by ensuring that quality postsecondary educational opportunities are available.

The Administration requests a total of \$296.7 million for **the Aid for Institutional Development programs**, a decrease of \$119.7 million from the 2008 level. Within this amount, the Administration requests \$153.1 million for the **Strengthening Historically Black Colleges and Universities (HBCUs)** program, a decrease of \$85 million, or 35.7 percent from the 2008 level. The request also includes \$56.9 million for the **Strengthening Historically Black Graduate Institutions (HBGIs)** program. The Strengthening HBCUs and Strengthening HBGIs grants programs increase the capacity of the HBCUs and HBGIs to provide African-Americans greater access to academic programs at both undergraduate and graduate levels. No discretionary funds are requested for **Strengthening Tribally Controlled Colleges and Universities** or **Strengthening Alaska Native and Native Hawaiian-serving Institutions**; and a reduced level is requested for the Strengthening Historically Black Colleges and Universities program. Discretionary funding is eliminated for Strengthening TCCUs and reduced for Strengthening HBCUs in fiscal year 2009 because mandatory funding—\$115 million—is provided for these programs in 2008 and 2009 under the College Cost Reduction and Access Act (CCRAA). The request continues the Administration's fiscal year 2008 budget policy to eliminate funding for the Strengthening ANNH program because the institutions supported under this program are eligible for funds under the much larger Strengthening Institutions program; however, the CCRAA provides \$15 million in mandatory funding for this program in each of the fiscal years 2008 and 2009. The request would provide level funding for all other Title III discretionary programs.

The Administration requests \$74.4 million for **Developing Hispanic-serving Institutions (HSIs)**, a decrease of \$18 million or 20 percent, from the 2008 level. Discretionary funding is reduced in fiscal year 2009 because CCRAA provides an additional \$100 million in both 2008 and 2009 to be awarded to HSIs for the kinds of activities currently being supported under the existing program. This combined funding demonstrates the Administration's commitment to ensuring that Hispanic students have access to high quality postsecondary education and to closing the gap between Hispanic and non-Hispanic students in areas of academic achievement, high school graduation, postsecondary enrollment and life-long learning.

The Administration requests \$24 million for the new **Advancing America Through Foreign Language Partnerships** program, authorized under the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, to establish fully articulated language programs of study in languages critical to U.S. national security. The program would make grants to institutions of higher education for partnerships with school districts for language learning from kindergarten through high school and into advanced language learning at the postsecondary level. The program is part of a multi-agency effort to address deficiencies in the way we teach and learn critical foreign languages in our Nation.

The Administration requests \$110 million, an increase of \$1 million, or 1 percent, over the 2008 level, for the **International Education and Foreign Language Studies (IEFLS)** programs. The

## HIGHER EDUCATION

14 IEFLS programs are designed to help meet the Nation's security and economic needs through the development of expertise in foreign languages and area and international studies. The request for IEFLS includes \$94.9 million for the **Domestic Programs**, an increase of \$1 million over the 2008 level. The increase will support the development of new assessment tools for measuring improvements in language competency in the IEFLS programs. Within the request for Domestic Programs, \$1 million would be set aside to develop the National Security Language Initiative's e-Learning Clearinghouse to be established under the Language Resource Centers (LRCs) program. The request for IEFLS also includes \$13.4 million for the **Overseas Programs** and \$1.7 million for the **Institute for International Public Policy**, the same as the 2008 level.

The Administration requests for the **Federal TRIO Programs** and **Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP)** are to maintain funding at the fiscal year 2008 levels of \$828.2 million and \$303.4 million, respectively. The request for the Federal TRIO programs includes funding for Student Support Services, Upward Bound, Upward Bound Math and Science, Talent Search, Educational Opportunity Centers, and McNair Postbaccalaureate Achievement. The TRIO programs are the Department's oldest college preparation and student support programs, and they have a long history of providing support to low-income students and students whose parents never completed college. In total, funding for TRIO would serve approximately 830,000 middle school, high school, and college students and adults, and funding for GEAR UP would serve approximately 743,000 middle and high school students in fiscal year 2009.

The Administration also requests \$37.4 million for the **Fund for the Improvement of Postsecondary Education** for fiscal year 2009, a decrease of \$82.9 million overall but an increase of \$16 million for FIPSE's competitive grants. The Secretary's Commission on the Future of Higher Education recommended revitalizing the program and increasing its funding, in order to provide support to exemplary, locally developed projects that are models for innovative reform and improvement in postsecondary education. The increased funding would restore funding for FIPSE's competitive grants close to their 2001 funding level while accommodating new innovative initiatives for improving key elements of postsecondary education, including a transfer of credit demonstration program.

The fiscal year 2009 request includes an increase of \$3 million for **Graduate Assistance in Areas of National Need (GAANN)** and an increase of \$0.3 million for **Javits Fellowships**. The requested increases for these programs are based on the positive performance outcomes and Adequate PART ratings for both programs. Additionally, since fiscal year 2000, funding for both programs has decreased slightly, while stipend levels have increased sharply, resulting in a sharp decline in the number of graduate fellowships offered annually through the two programs; down from 1,626 in fiscal year 2000 to 948 in fiscal year 2007. The requested levels would increase the appropriation for each program in line with inflation, in order to arrest the long-term erosion of the programs. In addition to the inflation increase, the request for the GAANN program includes an additional \$2 million that would provide funding for a special priority to address the acute shortages in the field of psychometrics that have hampered implementation of critical elements of the No Child Left Behind Act.

The Administration proposes to eliminate funding for a number of programs that either duplicate other programs or have achieved their original purpose. These include: **Teacher Quality Enhancement, Byrd Honors Scholarships, Demonstration Projects to Ensure Quality Higher Education for Students with Disabilities, Tribally Controlled Postsecondary**



## HIGHER EDUCATION

**Career and Technical Institutions, Thurgood Marshall Legal Educational Opportunity program, B.J. Stupak Olympic Scholarships, Underground Railroad Program, and Teachers for a Competitive Tomorrow.**

The College Cost Reduction and Access Act authorizes and provides the following mandatory funds which are not included in the Administration's fiscal year 2009 budget request:

- \$230 million for the fiscal years 2008 and 2009 for existing programs under Titles III and V of the Higher Education Act—\$85 million for **Historically Black Colleges and Universities**, \$30 million for **Tribally Controlled Colleges and Universities**, \$15 million for **Alaska Native and Native Hawaiian-serving institutions**, and \$100 million for **Developing Hispanic-serving Institutions**.
- \$25 million for each of the fiscal years 2008 and 2009 for 3 new programs that support minority-serving institutions—\$15 million for **Predominantly Black institutions**, \$5 million for **Asian American and Native American Pacific Islander-serving institutions**, and \$5 million for **Native American-serving nontribal institutions**.
- \$57 million for each of the fiscal years 2008 through 2011 to provide assistance to all **TRIO Upward Bound** applicants that did not receive funding in the fiscal year 2007 competition and have an application score above 70.
- \$66 million in each of the fiscal years 2008 and 2009 to support the **College Access Challenge Grant program** requiring the Department to provide formula matching grants to States for specified activities and services to improve student access to postsecondary education.

## HIGHER EDUCATION

### Aid for institutional development

(Higher Education Act of 1965, Title III and Title IV, Part J (as amended by the College Cost Reduction and Access Act))

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

	<u>2008</u>	<u>2009</u>	<u>Change</u>
Strengthening Institutions (discretionary)	\$78,146	\$78,146	0
Strengthening Tribally Controlled Colleges and Universities (discretionary)	23,158	0	-\$23,158
Additional funds for Strengthening Tribally Controlled Colleges and Universities (mandatory)	30,000	30,000	0
Strengthening Alaska Native and Native Hawaiian-serving Institutions (discretionary)	11,579	0	-11,579
Additional funds for Strengthening Alaska Native and Native Hawaiian-serving Institutions (mandatory)	15,000	15,000	0
Strengthening Historically Black Colleges and Universities (discretionary)	238,095	153,095	-85,000
Additional funds for Strengthening Historically Black Colleges and Universities (mandatory)	85,000	85,000	0
Strengthening Historically Black Graduate Institutions (discretionary)	56,903	56,903	0
Minority Science and Engineering Improvement Program (discretionary)	<u>8,577</u>	<u>8,577</u>	<u>0</u>
Total	546,458	426,721	-119,737
Discretionary	416,458	296,721	-119,737
Mandatory	130,000 <sup>2</sup>	130,000 <sup>2</sup>	0

<sup>1</sup> The authorization for discretionary funding for these programs will expire on March 31, 2008; reauthorizing legislation is sought. The authorization for mandatory funding for these programs is \$130,000 thousand and will expire on September 30, 2009.

<sup>2</sup> Mandatory funds are made available by the College Cost Reduction and Access Act, P.L. 110-84 (September 27, 2007; 121 Stat. 784). These funds are not part of the Administration's fiscal year 2009 budget request.

## PROGRAM DESCRIPTION

The Aid for Institutional Development programs, commonly referred to as the Title III programs, are designed to strengthen institutions of higher education that serve high percentages of minority students and students from low-income backgrounds. Federal grants made under these programs to eligible institutions are to support improvements in the academic quality, institutional management, and fiscal stability of the institutions. Specifically, the Title III

## HIGHER EDUCATION

### Aid for institutional development

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programs provide financial assistance to help institutions solve problems that threaten their ability to survive, to improve their management and fiscal operations, to build endowments, and to make effective use of technology. Funding is targeted to minority-serving and other institutions that enroll a large proportion of financially disadvantaged students and have low per-student expenditures.

In addition, from its inception in 1965, one of the primary missions of the Title III programs has been to strengthen the Nation's Historically Black Colleges and Universities. The Higher Education Amendments of 1998 extended that mission to include programs to strengthen Tribally Controlled Colleges and Universities and Alaska Native and Native Hawaiian-serving institutions. Furthermore, the College Cost Reduction and Access Act (CCRAA) amended Title IV of the Higher Education Act by authorizing mandatory funding for a number of new and existing programs.

Strengthening Institutions (Part A, Section 311) authorizes competitions for 1-year planning grants and 5-year discretionary development grants. Special consideration is given to institutions that: have endowment funds with a market value per full-time equivalent student less than the market value of endowment funds per full-time equivalent student at similar institutions, and have below average educational and general expenditures per full-time equivalent undergraduate student. Institutions receiving a 5-year grant under this part are not eligible to receive an additional grant under this part until 2 years after the 5-year grant has expired. Institutions may use their Part A funds to plan, develop, and implement activities that encourage: faculty and academic program development; improvement in fund and administrative management; joint use of libraries and laboratories; construction and maintenance of instructional facilities; and student services. To further facilitate the development of eligible institutions, funds can be used to support activities that strengthen an institution's technological capabilities. Institutions may use no more than 20 percent of the grant funds provided under this part to establish or increase an institution's endowment fund. These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar.

To participate in the Strengthening Institutions program (SIP), an institution must: award bachelor degrees or be a junior or community college; provide an education program legally authorized by the State in which it is located; and be accredited or be making reasonable progress toward accreditation. An institution must also have below average educational and general expenditures per full-time equivalent undergraduate student and include in its enrollment a significant percentage of financially needy students. The enrollment of needy students criterion may be met if a substantial percentage of the institution's enrolled students are Pell Grant recipients, or if 50 percent of its enrolled students are Title IV need-based aid recipients. If a Strengthening Institution participant receives funding under this program, it cannot receive funding under other sections of Part A or Part B.

Strengthening Tribally Controlled Colleges and Universities (TCCUs) (Part A, Section 316) authorizes competitions for 1-year planning grants and 5-year discretionary development grants that enable TCCUs to improve and expand their capacity to serve American Indian students. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e. they are eligible to receive an additional grant after their 5-year grant period expires. Institutions may use their funds to plan, develop, and implement activities that

## HIGHER EDUCATION

### Aid for institutional development

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encourage: faculty and academic program development; improvement in fund and administrative management; construction and maintenance of instructional facilities, including purchase or rental of telecommunications technology equipment and services; student services; the establishment of a program of teacher education with a particular emphasis on qualifying students to teach Indian children; and the establishment of community outreach programs that encourage Indian elementary and secondary school students to develop the academic skills and interest to pursue postsecondary education. These institutions may use no more than 20 percent of the funds provided under this section to establish or increase an institution's endowment fund. These endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If a TCCU receives funding under this program, it cannot receive funding under other sections of Part A or Part B.

The CCRAA provides \$30 million in mandatory funding to be added to any amount appropriated in a regular or supplemental appropriation act for the Title III Strengthening TCCUs program in each of the fiscal years 2008 and 2009. The funds are to be awarded as competitive grants and used for activities currently authorized under the Title III Strengthening TCCUs program.

Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH) (Part A, Section 317) authorizes competitions for 1-year planning grants and 5-year discretionary development grants that enable these institutions to improve and expand their capacity to serve Alaska Native and Native Hawaiian students. Institutions receiving grants under this part are exempted from the 2-year wait-out requirement in Section 313, i.e. they are eligible to receive an additional grant after their 5-year grant period expires. Institutions may use their funds to plan, develop, and implement activities that support: faculty and curriculum development; improvement in fund and administrative management; construction, maintenance, renovation and improvement for library, laboratory and other instructional facilities; student services; and the purchase of library books and other educational materials. These institutions are typically located in remote areas not served by other postsecondary educational institutions.

The term "Alaska Native-serving institution" is defined as an institution that, at the time of application, has an undergraduate enrollment that is at least 20 percent Alaska Native students (as defined in Section 7306 of the Elementary and Secondary Education Act). The term "Native Hawaiian-serving institution" is defined as an institution that, at the time of application, has an undergraduate enrollment that is at least 10 percent Native Hawaiian students (as defined in Section 7207 of the Elementary and Secondary Education Act). If an Alaska Native or Native Hawaiian-serving institution receives funding under this program, it cannot receive funding under other sections of Part A or Part B.

The CCRAA provides \$15 million in mandatory funding to be added to any amount appropriated in a regular or supplemental appropriation act for the Title III Strengthening Alaska Native and Native Hawaiian-serving Institutions program in each of the fiscal years 2008 and 2009. The funds are to be awarded as competitive grants and used for activities currently authorized under the Title III Strengthening Alaska Native and Native Hawaiian-serving Institutions program.

Strengthening Historically Black Colleges and Universities (HBCUs) (Part B, Section 323) authorizes 5-year formula-based grants to help HBCUs strengthen their infrastructure and achieve greater financial stability. HBCUs may use their funds to plan, develop, and implement

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### Aid for institutional development

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activities that support: faculty and academic program development; improvement in fund and administrative management; construction and maintenance and renovation of instructional facilities; student services; the establishment of a program of teacher education designed to qualify students to teach in public schools; and the establishment of community outreach programs that will encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education. HBCUs may use no more than 20 percent of the grant funds provided under this part—which must be matched at a rate of one institutional dollar for each Federal dollar—to establish or increase an institution's endowment fund.

A Part B eligible institution is defined as any accredited, legally authorized HBCU that was established prior to 1964 and whose principal mission was, and is, the education of African-Americans. Part B appropriations are allocated among HBCUs based on the number of Pell Grant recipients enrolled, the number of graduates, and the percentage of graduates who are attending graduate or professional school in degree programs in which African-Americans are underrepresented. The statute provides for a \$500,000 minimum grant for each eligible institution. If an HBCU receives funding under this program, it cannot receive funding under Part A.

The CCRAA provides \$85 million in mandatory funding to be added to any amount appropriated in a regular or supplemental appropriation act for the Title III Strengthening HBCUs program in each of the fiscal years 2008 and 2009. The funds are to be awarded to HBCUs based on the formula used to allocate funding in the Title III Strengthening HBCUs program and be used for activities currently authorized under the Title III Strengthening HBCUs program with a priority for the following purposes:

- Purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes;
- Construction, maintenance, renovation, and improvement in classroom, library, laboratory, and other instructional facilities, including purchase or rental of telecommunications technology equipment or services;
- Academic instruction in disciplines in which Black Americans are underrepresented;
- Purchase of library books, periodicals, microfilm, and other educational materials, including telecommunications program materials;
- Establishing or enhancing a program of teacher education designed to qualify students to teach in a public elementary or secondary school in the State that shall include, as part of such program, preparation for teacher certification; and
- Those designed to increase the college or university's capacity to prepare students for careers in the physical or natural sciences, mathematics, computer science or information technology/sciences, engineering, language instruction in the less-commonly taught languages or international affairs, or nursing or allied health professions.

Strengthening Historically Black Graduate Institutions (HBGIs) (Part B, Section 326) authorizes 5-year grants to the following 18 postgraduate institutions: Morehouse School of Medicine, Meharry Medical School, Charles R. Drew Postgraduate Medical School, Clark-Atlanta University, Tuskegee University School of Veterinary Medicine, Xavier University School of

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Pharmacy, Southern University School of Law, Texas Southern University School of Law and School of Pharmacy, Florida A&M University School of Pharmaceutical Sciences, North Carolina Central University School of Law, Morgan State University, Hampton University, Alabama A&M, North Carolina A&T State University, University of Maryland Eastern Shore, Jackson State University, Norfolk State University, and Tennessee State University. A grant under this section can be used for: scholarships and fellowships for needy graduate and professional students; construction and maintenance of instructional facilities; the establishment or maintenance of an endowment fund; establishment or improvement of a development office to strengthen and increase contributions from alumni and the private sector; improvement in fund and administrative management; purchase, rental, and lease of scientific and laboratory equipment for educational purposes; and purchase of library books, periodicals, technical and scientific journals, microfilms, microfiches, and other educational materials including telecommunication program materials.

Section 326 grants are limited to \$1 million unless the HBGI agrees to match 50 percent of the grant funding in excess of \$1 million with non-Federal resources. Institutions are not required to match any portion of the first \$1 million of their award.

An HBGI that received a grant under this section in fiscal year 1998 (and that is eligible to receive a grant after fiscal year 1998) may not receive a grant in subsequent fiscal years that is less than the grant amount received in fiscal year 1998. No institution or university system may receive more than one grant under Section 326 in any fiscal year. If an HBGI receives funding under this program, it cannot receive funding under Title III Part A program.

Of the amount appropriated: the first \$26.6 million (or any lesser amount appropriated) must be used to make grants to the first 16 HBGIs listed above; any amount appropriated in excess of \$26.6 million but less than \$28.6 million must be used to make grants to Norfolk State University and Tennessee State University; and any amount in excess of \$28.6 million must be made available to each of the 18 HBGIs pursuant to a formula using: 1) an institution's ability to match funds; 2) the number of students enrolled in the postgraduate program; 3) the average cost of education per student enrolled in the postgraduate program; 4) the number of students who received a degree from the postgraduate program in the previous year; and 5) the contribution of the institution as calculated by the ratio of programs for which the institution is eligible to receive funds to the number of African-Americans receiving graduate or professional degrees in those programs.

The Minority Science and Engineering Improvement Program (MSEIP) (Part E) supports discretionary grants for periods of up to 3 years that are awarded competitively to institutions of higher education that are designed to effect long-range improvement in science and engineering education at predominantly minority institutions and to increase the participation of underrepresented ethnic and racial minorities in scientific and technological careers. Colleges and universities with minority enrollments greater than 50 percent are eligible to receive assistance under MSEIP. MSEIP allows grantee institutions the latitude to promote a variety of innovative and customized projects. Typically, MSEIP projects are designed to implement one, or a combination of, educational projects, such as curriculum development, purchase of scientific equipment, or development of research capabilities.

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$399,961
2005.....	421,476
2006.....	419,630
2007.....	419,630
2008.....	546,458 <sup>1</sup>

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<sup>1</sup> Includes \$130,000 thousand in mandatory funds provided under the CCRAA.

### FY 2009 BUDGET REQUEST

The Administration requests \$296.7 million for the Aid for Institutional Development programs, a decrease of \$119.7 million from the 2008 level. No discretionary funds are requested for Strengthening Tribally Controlled Colleges and Universities or Strengthening Alaska Native and Native Hawaiian-serving Institutions; and a reduced level is requested for the Strengthening Historically Black Colleges and Universities program. Discretionary funding is eliminated for Strengthening TCCUs and reduced for Strengthening HBCUs in fiscal year 2009 because mandatory funding—\$115 million—is provided for these programs in 2008 and 2009 under the CCRAA. The request continues the Administration’s fiscal year 2008 budget policy to eliminate funding for the Strengthening ANNH program because the institutions supported under this program are eligible for funds under the much larger Strengthening Institutions program; however, the CCRAA provides \$15 million in mandatory funding for this program in each of the fiscal years 2008 and 2009. The request would provide level funding for all other Title III discretionary programs.

An important strategy in closing the gap between low-income and minority students and their high-income, non-minority peers is to strengthen the quality of educational opportunities in institutions dedicated to serving low-income and minority students. A significant number of postsecondary education institutions serving high percentages of minority students and students from low-income backgrounds face problems that threaten their ability to survive. The Administration is committed to assisting institutions enrolling a large proportion of disadvantaged students by providing funds to improve the academic programs and administrative and fundraising capabilities of these institutions.

- The Administration requests \$78.1 million for the Part A, *Strengthening Institutions program*, the same as the 2008 level. This funding level would support the Administration’s commitment to assisting institutions that provide educational opportunities to a diverse student population.
- No discretionary funding is requested for Part A, Section 316 *Strengthening Tribally Controlled Colleges and Universities program* in fiscal year 2009 because the CCRAA provides \$30 million in mandatory funding for this program in both fiscal years 2008 and 2009. The mandatory funds received in fiscal year 2008 coupled with the discretionary appropriation of \$23.2 million amounts to a combined appropriation of \$53.2 million in fiscal year 2008 for TCCUs. These funds represent an increase of 126 percent above the fiscal

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year 2007 appropriation, an enormous increase for a program with a limited number of institutions eligible to apply for grants. There are 32 federally recognized Tribal Colleges and Universities in the United States. Most of the TCCUs are 2-year schools that have been in existence for less than 30 years. All but 2 of the eligible institutions received funding in 2007, and 5 received both development and construction awards in fiscal year 2007. As of December 2007, \$23.5 million of funds awarded prior to fiscal year 2007 still remain unexpended. Most of the fiscal year 2008 funds will be awarded for construction-related grants averaging \$1.5 million. The Administration proposes that the \$30 million in mandatory funding in 2009 be awarded to all eligible TCCUs on the basis of a formula, with minimum grant amounts of \$500,000.

Like grants under the Strengthening HBCUs program, funds would be allocated among TCCUs based on the number of Pell Grant recipients enrolled at the institution and the number of TCCU graduates, except that existing grantees would receive no less than the amount of their fiscal year 2009 non-competing continuation award if the institution was previously awarded a multi-year grant with 2009 continuation costs. Current Higher Education Act reauthorization proposals in the House (H.R. 4137) and Senate (S. 1642) allow that only a portion of the funds appropriated be distributed by formula based on Indian student counts at TCCUs. Since 30 of the 32 eligible institutions have received assistance under the program each year, little is gained by requiring eligible institutions to compete for funding.

- No discretionary funding is requested for Part A, Section 317 *Strengthening Alaska Native and Native Hawaiian-serving Institutions (ANNH) program* in fiscal year 2009 primarily because eligible institutions can be funded under the much larger Strengthening Institutions program. This policy is a continuation of the Administration's fiscal year 2008 request. In addition, the CCRAA provides \$15 million in mandatory funds for this program in both fiscal years 2008 and 2009. The mandatory funds received in fiscal year 2008 coupled with the discretionary appropriation of \$11.6 million amounts to a combined appropriation of \$26.6 million in fiscal year 2008 for ANNH-serving institutions. These funds represent an increase of 126 percent above the fiscal year 2007 appropriation, a significant increase for a program with a limited number of institutions (roughly 40) eligible to apply for grants. In fiscal year 2007, 6 institutions applied for grants—2 applied for individual development awards and 4 applied for renovation awards. All applicants were successful in the competition and received funding. As of December 2007, \$13.6 million of funds awarded prior to fiscal year 2007 still remain unexpended. Most of the fiscal year 2008 funds will be awarded for grants for renovation and improvement of instructional facilities averaging \$1.5 million. The \$15 million in mandatory funding available in 2009 would support 20 renovation awards.
- The Administration requests \$153.1 million in discretionary funding for the *Strengthening HBCUs program* under Part B, Section 323, a decrease of \$85 million, or 35.7 percent from the 2008 level. The Administration is requesting less discretionary funding because the CCRAA provides an additional \$85 million in mandatory funds in fiscal years 2008 and 2009 for activities authorized under the Title III HBCUs program. In fiscal year 2009, the reduced funding coupled with the mandatory funding restores program funding to the fiscal year 2007 level. The 2009 funds would support 96 continuation awards under the basic program and an additional 96 continuation awards for projects with a priority in the fields of science,



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technology, engineering, and mathematics (STEM); less-commonly taught languages; and allied health professions. In addition, the Administration requests \$56.9 million for the *Strengthening HBGIs program* under Part B, Section 326, the same as the 2008 level, for the 18 designated institutions making a contribution to legal, medical, dental, veterinary or other graduate education opportunities for Black Americans.

Grants provided under the Title III, Part B programs enable the HBCUs and HBGIs to continue serving a growing population of students, and to encourage and prepare more of these students to pursue advanced study by enabling these institutions to improve their academic quality, institutional management, and fiscal stability. Based on information obtained from grantees through their annual performance reports, HBCUs expended most of their funds on grant activities that support academic quality in grant year 2004-2005. Expenditures toward fiscal stability was least prominent. Many of the grant activities carried out by HBCUs emphasized activities that enhanced faculty, curricula, academic instruction, academic success, technology, and facilities. Specifically, HBCU grantees most frequently engaged in activities that related to the development of academic programs; tutoring, counseling and student service programs; faculty exchange; funds management; and construction and maintenance of facilities.

- The Administration requests \$8.6 million for *the Minority Science and Engineering Improvement Program*. This proposal would maintain support for the improvement of mathematics, science, and engineering programs at institutions of higher education enrolling large numbers of minority students and would further the Administration's efforts to increase access to a quality higher education for individuals from underrepresented minority groups. African-Americans, Hispanics, and American Indians accounted for only 11 percent of all employed science and engineering doctorate holders in 2003. This program increases opportunities for minority graduates, particularly in the fields of science and engineering.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Strengthening Institutions:</b>			
Number of new development awards	20 <sup>1</sup>	62	49
Average new development award	\$372	\$378	\$387
Total new development award funding	\$7,446	\$23,411	\$18,946
Number of NCC development awards	205	151	160
Average NCC development award	\$352	\$357	\$365
Total NCC development award funding	\$72,089	\$53,954	\$58,419

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<sup>1</sup> Instead of conducting a new competition in fiscal year 2007, the Department funded down the fiscal year 2006 grant slate to make new awards in fiscal year 2007 because a significant number of high-quality applicants remained on the fiscal year 2006 slate and limited funding was available for new grant awards in fiscal year 2007.

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Strengthening Institutions (cont'd):</b>			
Peer review of new award applications	0	\$781	\$781
Total award funding	\$79,535	\$78,146	\$78,146
Total number of awards	225	213	209
<b>Strengthening TCCUs:</b>			
Discretionary funding:			
Number of new development awards	5	3	0
Average new development award	\$466	\$500	0
Total new development award funding	\$2,328	\$1,500	0
Number of construction awards	7	6	0
Average construction award	\$1,381	\$1,503	0
Total construction award funding	\$9,668	\$9,017	0
Number of NCC development awards	26	29	0
Average NCC development award	\$444	\$434	0
Total NCC development award funding	\$11,538	\$12,591	0
Number of development awards (formula)	0	0	32
Average development award (formula)	0	0	\$938 <sup>1</sup>
Total development award funding (formula)	0	0	\$30,000
Peer review of new award applications	\$36	\$50	0
Mandatory funding:			
Number of construction awards	0	20	0
Average construction award	0	\$1,500	0
Total construction award funding	0	\$30,000	0
Total award funding	\$23,570	\$53,158	\$30,000
Discretionary	\$23,570	\$23,158	0
Mandatory	0	\$30,000	\$30,000
Total number of awards	38 <sup>2</sup>	58 <sup>2</sup>	32

<sup>1</sup> For fiscal year 2009, an institution will receive an award that is either the amount calculated according to the formula or the amount of their fiscal year 2009 non-competing continuation (NCC) award if the institution was previously awarded a multi-year grant with 2009 continuation costs, whichever is greater. In fiscal year 2009, NCC costs amount to \$12,700 thousand.

<sup>2</sup> Development awards and construction awards are displayed separately; however, construction grants are awarded to institutions already receiving development awards. Therefore, the total number of awards appears higher than the actual number of award recipients.

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Strengthening Alaska-Native and Native Hawaiian-serving Institutions:</b>			
Discretionary funding:			
Number of new development awards	2	4	0
Average new development award	\$223	\$438	0
Total new development award funding	\$445	\$1,750	0
Number of renovation awards	4	3	0
Average renovation award	\$835	\$710	0
Total renovation award funding	\$3,341	\$2,130	0
Number of NCC development awards	19	19	0
Average NCC development award	\$420	\$403	0
Total NCC development award funding	\$7,981	\$7,649	0
Peer review of new award applications	\$18	\$50	0
Mandatory funding:			
Number of renovation awards	0	20	20
Average renovation award	0	\$750	\$750
Total renovation award funding	0	\$15,000	\$15,000
Total award funding	\$11,785	\$26,579	\$15,000
Discretionary	\$11,785	\$11,579	0
Mandatory	0	\$15,000	\$15,000
Total number of awards	25 <sup>1</sup>	46 <sup>1</sup>	20
<b>Strengthening HBCUs:</b>			
Discretionary funding:			
Number of new awards	97	0	0
Average new award	\$2,455	0	0
Total new award funding	\$238,095	0	0
Number of NCC awards	0	96 <sup>2</sup>	96 <sup>2</sup>
Average NCC award	0	\$2,480	\$1,595
Total NCC award funding	0	\$238,095	\$153,095

<sup>1</sup> Development awards and renovation and improvement awards are displayed separately; however, renovation and improvement grants are awarded to institutions already receiving development awards. Therefore, the total number of awards appears higher than the actual number of award recipients.

<sup>2</sup> Excludes Lewis College of Business located in Detroit, Michigan. In August 2007, the Higher Learning Commission (HLC), a commission of the North Central Association of Colleges and Schools, determined that Lewis College of Business no longer met their criteria for accreditation.

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Strengthening HBCUs (cont'd):</b>			
Mandatory funding:			
Number of new awards	0	96	0
Average new award	0	\$885	0
Total new award funding	0	\$85,000	0
Number of NCC awards	0	0	96
Average NCC award	0	0	\$885
Total NCC award funding	0	0	\$85,000
Total award funding	\$238,095	\$323,095	\$238,095
Discretionary	\$238,095	\$238,095	\$153,095
Mandatory	0	\$85,000	\$85,000
Total number of awards	97	192 <sup>1</sup>	192 <sup>1</sup>
<b>Strengthening HBGIs:</b>			
Number of new awards	5	0	13
Average new award	\$5,270	0	\$2,350
Total new award funding	\$26,350	0	\$30,553
Number of NCC awards	13	18	5
Average NCC award	\$2,428	\$3,161	\$5,270
Total NCC award funding	\$31,565	\$56,903	\$26,350
Total award funding	\$57,915	\$56,903	\$56,903
Total number of awards	18	18	18
<b>Minority Science and Engineering Improvement Program:</b>			
Number of new awards	29 <sup>2</sup>	20	26
Average new award	\$123	\$139	\$119
Total new award funding	\$3,556	\$2,782	\$3,091
Number of NCC awards	51	51	42
Average NCC award	\$101	\$112	\$129
Total NCC award funding	\$5,174	\$5,708	\$5,399

<sup>1</sup> The total number of awards appears higher than the actual number of award recipients because the total includes both discretionary grants authorized under Title III of HEA and mandatory grants authorized under the CCRAA.

<sup>2</sup> Instead of conducting a new competition in fiscal year 2007, the Department funded down the fiscal year 2006 grant slate to make new awards in fiscal year 2007 because a significant number of high-quality applicants remained on the fiscal year 2006 slate.

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Minority Science and Engineering Improvement Program (cont'd):</b>			
Peer review of new award applications	0	\$87	\$87
Total award funding	\$8,730	\$8,577	\$8,577
Total number of awards	80	71	68

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success, and to provide high-quality educational opportunities for their students.**

**Objective:** *Maintain or increase the enrollment, persistence, and graduation rates at minority-serving institutions.*

<b>Measure:</b> The percentage change of the number of full-time degree-seeking undergraduates enrolled at Strengthening Institutions Program (SIP) institutions.		
Year	Target	Actual
2005		11.4
2006		-3.0
2007		24.1
2013	TBD (December 2008)	

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**Measure:** The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same SIP institution.

**Measure:** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year SIPs graduating within 6 years of enrollment.

**Measure:** The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year SIPs graduating within 3 years of enrollment.

Year	Target			Actual		
	Persistence	Graduation 4-yr	Graduation 2-yr	Persistence	Graduation 4-yr	Graduation 2-yr
2004				63	47	26
2005				61	45	22
2006	68	47	25	61	49	22
2007	68	47	26	60		
2008	68	48	26			
2009	68	48	26			

**Assessment of progress:** The Department has recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same National Center for Education Statistics (NCES)/Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data for all full-time degree seeking undergraduate students used by the former measure. Data from the 2004-2007 cohort will be used to determine the target for 2013. The target for 2013 will be developed in late 2008, using fiscal year 2008 enrollment data. The enrollment data presented here takes into account student enrollment for the full set of SIP institutions receiving continuation grants.

For the second year in a row, the program did not meet the target set for student persistence. Student persistence at SIP institutions has declined slightly in recent years, as has student persistence nationally. Program performance on the 4-year graduation measure exceeded the target set in 2006, while program performance on the 2-year graduation measure fell short of the program's goal. Failure to meet the 2-year graduation rate is consistent for all types of institutions served under the Aid for Institutional Development programs and for Developing HSIs. Graduation data for 2006-2007 will be available in December 2008. Persistence and graduation data for 2004 was based on a subset of SIP grantees, and therefore, does not reflect data for the full set of SIP institutions. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks. The Department conducted a grantee-level analysis of the program's 2004-2005 performance data and posted grantee performance data on the Department's website at [www.ed.gov/programs/iduestitle3a/performance.html](http://www.ed.gov/programs/iduestitle3a/performance.html).

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<b>Measure:</b> The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at TCCUs.						
<b>Year</b>	<b>Target</b>			<b>Actual</b>		
2004				18.9		
2005				23.6		
2006				16.2		
2007				19.5		
2013	TBD (December 2008)					
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same TCCU institution.						
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year TCCUs graduating within 6 years of enrollment.						
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year TCCUs graduating within 3 years of enrollment.						
<b>Year</b>	<b>Target</b>			<b>Actual</b>		
	Persistence	Graduation 4-yr	Graduation 2-yr	Persistence	Graduation 4-yr	Graduation 2-yr
2004				41	32	34
2005				48	36	26
2006	41	32	29	44	36	21
2007	42	32	29	43		
2008	43	32	29			

**Assessment of progress:** The Department has recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same NCES/IPEDS fall enrollment data for all full-time degree-seeking undergraduate students used by the former measure except that the new measure tracks program enrollment at the beginning of, and one year after the end of, each 5-year grant period. The percentage change is calculated against the base year. Data from the 2003-2007 cohort will be used to determine the target for 2013. The target for 2013 will be for the 2008-2012 cohort and will be developed in late 2008, using fiscal year 2008 enrollment data. This will close out the performance assessment for the 2003 cohort.

Program performance on the persistence measure exceeded the target for the second year in a row. The 4-year graduation rate reported for 2006 is the same as the 2005 rate and exceeds the target level set for 2006. The 2-year graduation rate did not meet the target set for 2006. Graduation data for 2006-2007 will be available in December 2008. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.

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<b>Measure:</b> The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduate students enrolled at ANNH institutions.						
<b>Year</b>	<b>Target</b>			<b>Actual</b>		
2004				0.7		
2005				0.6		
2006				0.4		
2007				-0.8		
2013	TBD (December 2008)					
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same ANNH institution.						
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year ANNH institutions who graduate within 6 years of enrollment.						
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 2-year ANNH institutions who graduate within 3 years of enrollment.						
<b>Year</b>	<b>Target</b>			<b>Actual</b>		
	Persistence	Graduation 4-yr	Graduation 2-yr	Persistence	Graduation 4-yr	Graduation 2-yr
2004				46	28	14
2005				62	29	16
2006	46	27	16	63	33	14
2007	62	28	16	61		
2008	62	28	16			

**Assessment of progress:** The Department has recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same NCES/IPEDS fall enrollment data for all full-time degree-seeking undergraduate students used by the former measure except that the new measure tracks program enrollment at the beginning of, and one year after the end of, each 5-year grant period. The percentage change is calculated against the base year. Data from the 2003-2007 cohort will be used to determine the target for 2013. The target for 2013 will be for the 2008-2012 cohort and will be developed in late 2008, using fiscal year 2008 enrollment data. This will close out the performance assessment for the 2003 cohort.

Program performance in 2007 for persistence is down slightly from 2006 and falls short of the target. Program performance on the 4-year graduation measure exceeded the target set in 2006, while program performance on the 2-year graduation measure fell short of the program's goal. The 2006 graduation rates in this program are lower than the rates for all types of institutions served under the Aid for Institutional Development programs. Graduation data for 2006-2007 will be available in December 2008. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.



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<b>Measure:</b> The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolled at HBCUs.				
<b>Year</b>	<b>Target</b>		<b>Actual</b>	
2004			8.7	
2005			10.1	
2006			9.5	
2007			8.2	
2013	TBD (December 2008)			
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HBCU.				
<b>Measure:</b> The percentage of first-time, full-time degree-seeking undergraduate students enrolled at 4-year HBCUs graduating within 6 years of enrollment.				
<b>Year</b>	<b>Target</b>		<b>Actual</b>	
	Persistence	Graduation 4-yr	Persistence	Graduation 4-yr
2004			64	39
2005			65	38
2006	65	37	64	38
2007	66	39	62	
2008	66	39		
2009	66	40		

**Assessment of progress:** The Department has recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same NCES/IPEDS fall enrollment data for all full-time degree-seeking undergraduate students used by the former measure except that the new measure tracks program enrollment at the beginning of, and one year after the end of, each 5-year grant period. The percentage change is calculated against the base year. Data from the 2003-2007 cohort will be used to determine the target for 2013. The target for 2013 will be for the 2008-2012 cohort and will be developed in late 2008, using fiscal year 2008 enrollment data. This will close out the performance assessment for the 2003 cohort.

For the second year in a row, the program did not meet the target set for student persistence. Student persistence at HBCUs has declined slightly in recent years, as has student persistence nationally. The persistence rate compares favorably with the rate at Title V HSIs. Persistence data for 2008 will be available in December 2008. The graduation rate reported for 2006 exceeds the target; it is 3 points higher than the rate for students at 4-year HSIs. Graduation data for 2006-2007 will be available in December 2008. Performance data for these measures are derived from electronic annual performance reports from grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.

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<b>Measure:</b> The percentage change, over the 5-year grant period, of the number of full-time graduate students enrolled at HBGIs.		
Year	Target	Actual
2004		3.1
2005		6.2
2006		4.8
2007		13.0
2013	TBD (December 2008)	
<b>Measure:</b> The number of PhDs, first professional, and master's degrees awarded at HBGIs.		
Year	Target	Actual
2004		4,219
2005		4,410
2006	4,178	4,542
2007	4,498	
2008	4,588	
2009	4,680	

**Assessment of progress:** The Department has recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same NCES/IPEDS fall enrollment data for all full-time graduate students as the former measure except that the new measure tracks program enrollment at the beginning and one year after the end of each 5-year grant period. The percentage change is calculated against the base year. Data from the 2003-2007 cohort will be used to determine the target for 2013. The target for 2013 will be for the 2008-2012 cohort and will be developed in late 2008, after determining fiscal year 2008 enrollment. This will close out the performance assessment for the 2003 cohort.

The number of degrees awarded for 2006 exceeds the target set. Graduation data for 2007 will be available in December 2008. Beginning in 2007, targets for graduation have been changed to reflect the higher than expected levels. Performance data for these measures are derived from electronic annual performance reports from program grantees and NCES/IPEDS. IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.

Measures—enrollment, persistence, and graduation—have also been established for the Minority Science and Engineering Improvement Program (MSEIP) resulting in consistent measurement across Department programs that focus on strengthening institutions that serve large minority populations. More specifically, the effectiveness of the MSEIP program will be measured by the number of undergraduate students enrolling in the fields of engineering or physical or biological sciences at MSEIP grantee institutions; the first year persistence rate of minority students in the fields of engineering or physical or biological sciences at MSEIP grantee institutions; and the graduation rate of minority students in the fields of engineering or physical or biological sciences at MSEIP grantee institutions. Targets for the MSEIP measures have not been developed.

## HIGHER EDUCATION

### Aid for institutional development

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#### Efficiency Measures

The Department developed a common efficiency measure for the Aid for Institutional Development programs. The measure examines the cost per successful program outcome, which for these programs is defined as a student who obtains an undergraduate or graduate degree.

**Measure:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at SIP institutions.

Year	Actual
2004	\$470
2005	\$447
2006	\$491

**Measure:** Cost per successful outcome: Federal cost per undergraduate degree at Tribally Controlled Colleges and Universities.

Year	Actual
2003	\$14,353
2004	\$12,386
2005	\$14,046
2006	\$12,665

**Measure:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at Alaska Native and Native Hawaiian-serving Institutions.

Year	Actual
2003	\$1,940
2004	\$2,532
2005	\$2,672
2006	\$2,831

**Measure:** Cost per successful outcome: Federal cost per undergraduate and graduate degree at HBCUs.

Year	Actual
2003	\$5,653
2004	\$5,731
2005	\$6,069
2006	\$5,991

**Measure:** Cost per successful outcome: Federal cost per graduate degree at HBGs.

Year	Actual
2003	\$13,173
2004	\$12,586
2005	\$13,159
2006	\$12,571

**Assessment of progress:** These measures are calculated as the appropriation for the program divided by the number of undergraduate and graduate degrees awarded. The average cost per successful outcome for the Strengthening TCCUs program is higher, in part, because

## HIGHER EDUCATION

### Aid for institutional development

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the majority of funds appropriated are used for construction-related activities. The efficiency measure data, along with data for other performance measures, will be used as part of grantee-level analyses. The Department completed a grantee-level analysis of the SIP program's 2004-2005 performance data and posted grantee performance data on the Department's website at [www.ed.gov/programs/iduestitle3a/performance.html](http://www.ed.gov/programs/iduestitle3a/performance.html). The Department expects to complete grantee-level analysis for the remaining Title III programs and post it to the Department's website during 2008. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as to identify exemplary practices for improving program performance outcomes. Targets for these programs will be developed by October 2008. A similar efficiency measure has been established for the Developing HSIs program and for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions.

### Followup on PART Findings and Recommendations

Three of the Aid for Institutional Development programs have undergone PART assessments. The Strengthening HBCUs program and Strengthening HBGIs program were assessed in 2005 and were rated Results Not Demonstrated. The Strengthening Institutions program was assessed in 2006 and also received a rating of Results Not Demonstrated.

The PART reviews determined that the previous measures for these programs (which tracked the percentage of institutional project goals that were successfully completed with respect to improvements in academic quality, institutional management and fiscal stability, and student services and student outcomes) may not be optimal measures of program performance. To address this finding, the Department developed three outcome measures that track student enrollment, persistence, and graduation rates at institutions supported by these programs.

The PART improvement plan recommendations are presented below, followed by a description of the Department's actions to address them.

- *Complete the study on the financial health of minority serving institutions of higher education and utilize the results to validate program performance measures and improve program performance.* The Department continues to monitor the implementation of the "Assessment of the Financial Health of Institutions Supported by Title III and Title V of the Higher Education Act." One purpose of the analysis is to determine whether the financial status of the institutions is improving or becoming worse and to identify what drivers are affecting the financial health of institutions, including whether enrollment, persistence, and graduation—the newly established measures for the Title III/V programs—are drivers of financial health. In addition, the analysis is expected to show whether the programs authorized by the HEA are positively affecting the institutions' financial health. The study is expected to be published in March 2008.
- *Develop strategies to use efficiency and performance data for program improvement purposes.* The Department is conducting grantee-level analysis of available data and expects to identify options that might lead to program improvement for the Strengthening

## HIGHER EDUCATION

### **Aid for institutional development**

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Institutions program by February 2008 and by October 2008 for the Strengthening HBCUs and Strengthening HBGLs programs.

- *Make grantee performance data available to the public in a transparent and meaningful manner.* The SIP grantee performance for 2004-2005 is available on the Department's website at [www.ed.gov/programs/iduestitle3a/performance.html](http://www.ed.gov/programs/iduestitle3a/performance.html). The Performance Assessment Report provides a narrative description of program performance for cohorts of SIP grants. The Grantee Performance Analysis presents data reported by individual grantees on program outcomes and cost effectiveness. The Strengthening HBCUs and Strengthening HBGLs performance assessment report will be posted on the Department's website in April 2008.
- *Establish targets for the program's efficiency measure.* The Department is assessing options for improving efficiency and expects to establish targets based on program performance for the Strengthening Institutions program by February 2008 and by August 2008 for the Strengthening HBCUs and Strengthening HBGLs programs.

## HIGHER EDUCATION

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### Strengthening minority-serving institutions

(Higher Education Act of 1965, Title IV, Part J, Section 499A (as amended by the College Cost Reduction and Access Act))

FY 2009 Authorization (\$000s): \$25,000<sup>1</sup>

Budget Authority (\$000s):

	<u>2008</u>	<u>2009</u>	<u>Change</u>
Strengthening Predominantly Black Institutions	\$15,000	\$15,000	0
Strengthening Asian American and Native American Pacific Islander-serving Institutions	5,000	5,000	0
Strengthening Native American-serving nontribal Institutions	<u>5,000</u>	<u>5,000</u>	<u>0</u>
	25,000 <sup>2</sup>	25,000 <sup>2</sup>	0

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<sup>1</sup> The authorization for these mandatory programs will expire on September 30, 2009.

<sup>2</sup> Mandatory funds are made available by the College Cost Reduction and Access Act, P.L. 110-84 (September 27, 2007; 121 Stat. 784). These mandatory funds are not part of the Administration's fiscal year 2009 budget request.

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### PROGRAM DESCRIPTION

The College Cost Reduction and Access Act authorizes and provides mandatory funds for the fiscal years 2008 and 2009 for 3 new programs that support minority-serving institutions.

- \$15 million for Predominantly Black institutions,
- \$5 million for Asian American and Native American Pacific Islander-serving institutions, and
- \$5 million for Native American-serving nontribal institutions.

Strengthening Predominantly Black Institutions authorizes 25 grants of \$600,000 to be awarded competitively to eligible institutions of higher education to support programs in any of the following areas: science, technology, engineering, or mathematics (STEM); health education; internationalization or globalization; teacher preparation; or improving educational outcomes of African American males.

The term "Predominantly Black institution" means an institution of higher education that:

- Has an enrollment of needy students;
- Has an average educational and general expenditure per full-time equivalent undergraduate student that is low in comparison with the average educational and general expenditure per full-time equivalent undergraduate student of institutions of higher education that offer similar instruction;

## HIGHER EDUCATION

### Strengthening minority-serving institutions

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- Has an enrollment of undergraduate students
  - That is at least 40 percent Black American students;
  - That is at least 1,000 undergraduate students;
  - Of which not less than 50 percent are low-income individuals or first-generation college students (as defined in Section 402A(g) of the HEA); and
  - Of which not less than 50 percent are enrolled in an educational program leading to a bachelor's or associate's degree that the institution is licensed to award by the State in which the institution is located;
- Is legally authorized to provide, and provides within the State, an educational program for which the institution of higher education awards a bachelor's degree, or in the case of a junior or community college, an associate's degree;
- Is accredited by a nationally recognized accrediting agency or association determined by the Department to be a reliable authority as to the quality of training offered, or is, according to such an agency or association, making reasonable progress toward accreditation; and
- Is not receiving assistance under Title III, Part B of the HEA, as amended.

Strengthening Asian American and Native American Pacific Islander-serving Institutions authorizes competitive grants to eligible institutions of higher education as defined under Section 312(b) of the HEA that have, at the time of application, an enrollment of undergraduate students that is at least 10 percent Asian American and Native American Pacific Islander students. The term "Asian American" means a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam as defined in the Office of Management and Budget's Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity as published on October 30, 1997 (62 Federal Register 58789). The term "Native American Pacific Islander" means any descendant of the aboriginal people of any island in the Pacific Ocean that is a territory or possession of the United States.

Institutions may use their funds to support activities consistent with those of the Strengthening Institutions program authorized under Section 311(c) of the HEA. These activities include: purchase, rental, or lease of scientific or laboratory equipment for educational purposes; construction, maintenance, renovation, and improvement in classrooms, libraries, laboratories, and other instructional facilities, including the integration of computer technology into institutional facilities to create smart buildings; support of faculty exchanges, faculty development, and faculty fellowships to assist in attaining advanced degrees in the field of instruction of the faculty; development and improvement of academic programs; purchase of library books, periodicals, and other educational materials, including telecommunications program material; tutoring, counseling, and student service programs; funds management, administrative management, and acquisition of equipment for use in strengthening funds management; joint use of facilities, such as laboratories and libraries; establishing or improving a development office to strengthen or improve contributions from alumni and the private sector; establishing or improving an endowment fund; and creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment or services.

## HIGHER EDUCATION

### Strengthening minority-serving institutions

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Strengthening Native American-serving nontribal institutions authorizes competitive grants to eligible institutions of higher education that have, at the time of application, an enrollment of undergraduate students that is not less than 10 percent Native American students; and are not a Tribal College or University (as defined in Section 316 of the HEA) to plan, develop, undertake, and carry out activities to improve and expand the institutions' capacity to serve Native Americans. The term "Native American" means an individual who is of a tribe, people, or culture that is indigenous to the United States.

Institutions may use their funds for the purchase, rental, or lease of scientific or laboratory equipment for educational purposes, including instructional and research purposes; renovation and improvement in classroom, library, laboratory, and other instructional facilities; support of faculty exchanges, faculty development, and faculty fellowships to assist faculty in attaining advanced degrees in the faculty's field of instruction; curriculum development and academic instruction; the purchase of library books, periodicals, microfilm, and other educational materials; funds and administrative management, and acquisition of equipment for use in strengthening funds management; the joint use of facilities such as laboratories and libraries; and academic tutoring and counseling programs and support services.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	0 <sup>1</sup>
2005.....	0 <sup>1</sup>
2006.....	0 <sup>1</sup>
2007.....	0 <sup>1</sup>
2008.....	\$25,000

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<sup>1</sup> The program was not authorized prior to 2008.

### FY 2009 BUDGET REQUEST

The CCRAA authorizes funds for these programs for fiscal years 2008 and 2009. The authority to award grants in these programs expires at the end of fiscal year 2009. These mandatory funds are not part of the Administration's fiscal year 2009 budget request.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Strengthening Predominantly Black Institutions:</b>			
Number of new awards	0	25	0
Average new award	0	\$600	0
Total new award funding	0	\$15,000	0



## HIGHER EDUCATION

### Strengthening minority-serving institutions

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Strengthening Predominantly Black Institutions: (cont'd):</b>			
Number of NCC awards	0	0	25
Average NCC award	0	0	\$600
Total NCC award funding	0	0	\$15,000
Total award funding	0	\$15,000	\$15,000
Total number of awards	0	25	25
<b>Strengthening Asian American and Native American Pacific Islander-serving Institutions:</b>			
Number of new development awards	0	4	0
Average new development award	0	\$1,249	0
Total new development award funding	0	\$4,994	0
Number of NCC development awards	0	0	4
Average NCC development award	0	0	\$1,250
Total NCC development award funding	0	0	\$5,000
Peer review of new award applications	0	\$6	0
Total award funding	0	\$5,000	\$5,000
Total number of awards	0	4	4
<b>Strengthening Native American-serving nontribal institutions:</b>			
Number of new development awards	0	4	0
Average new development award	0	\$1,249	0
Total new development award funding	0	\$4,994	0
Number of NCC development awards	0	0	4
Average NCC development award	0	0	\$1,250
Total NCC development award funding	0	0	\$5,000
Peer review of new award applications	0	\$6	0
Total award funding	0	\$5,000	\$5,000
Total number of awards	0	4	4

## HIGHER EDUCATION

### **Strengthening minority-serving institutions**

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#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

No program performance-related information is available for these minority-serving institutions at this time. However, the Department recently developed a consistent approach for measuring key student outcomes for different programs serving large minority populations, i.e., the Title III Aid for Institutional Development programs, the Title V Developing Hispanic-serving Institutions programs, and Howard University; and is considering similar measures for these programs. Performance in the other programs serving large minority populations is measured in three areas: enrollment, persistence, and graduation. For the most part, performance data for these areas are derived from the National Center for Education Statistics' (NCES) Integrated Postsecondary Education Data System (IPEDS). IPEDS data are reported by all postsecondary institutions and are subject to NCES' established review and adjudication process, which includes multistage internal and external reviews, as well as a formal adjudication process, to ensure that statistical standards are met and that the resulting database is of high quality. This method of collection increases the consistency and credibility of the performance measures and effectively makes use of performance information already collected, but not analyzed. These measures may enable the Department to assess program performance across institutions with similar types of missions.

## HIGHER EDUCATION

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### Developing Hispanic-serving institutions

(Higher Education Act of 1965, Title V and Title IV, Part J (as amended by the College Cost Reduction and Access Act))

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

	<u>2008</u>	<u>2009</u>	<u>Change</u>
Discretionary	\$93,256	\$74,442	-\$18,814
Mandatory	<u>100,000</u> <sup>2</sup>	<u>100,000</u> <sup>2</sup>	<u>0</u>
Total	193,256	174,442	-18,814

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<sup>1</sup>The authorization for discretionary funding for this program will expire on March 31, 2008; reauthorizing legislation is sought. The authorization for mandatory funding is \$100,000 thousand and will expire on September 30, 2009.

<sup>2</sup>Mandatory funds are made available by the College Cost Reduction and Access Act, P.L. 110-84 (September 27, 2007; 121 Stat. 784). These funds are not part of the Administration's fiscal year 2009 budget request.

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### PROGRAM DESCRIPTION

The Developing Hispanic-serving Institutions program is designed to expand and enhance the academic offerings, program quality, and institutional stability of the colleges and universities that are educating a large percentage of Hispanic college students.

Discretionary grants of up to 5 years in duration are awarded competitively to Hispanic-serving Institutions (HSIs) to enable these institutions to improve and expand their capacity to serve Hispanic and low-income students. Individual development grants support efforts to resolve institutional problems. Cooperative arrangement development grants between two or more institutions of higher education (IHEs) support efforts to resolve institutional problems common to the IHEs. Cooperative arrangement development grants enable IHEs to combine their resources to better achieve institutional goals. In addition, 1-year planning grants may be awarded for the preparation of plans and applications for a grant under this program.

The Third Higher Education Extension Act of 2006 (P.L. 109-292) amended the Higher Education Act to change the definition of a "Hispanic-serving institution." An HSI is now defined as an institution that has an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic. HSIs are no longer required to provide assurances that not less than 50 percent of its Hispanic students are low-income individuals. In addition, P.L. 109-292 eliminates the provision requiring institutions to wait 2 years after their 5-year grant has expired before applying for a new grant.

When making awards, priority is given to HSIs that work with, or have a cooperative agreement to work with, local educational agencies in reducing Hispanic dropout rates, improving rates of Hispanic academic achievement, and increasing the rates at which Hispanic high school graduates enroll in higher education.

## HIGHER EDUCATION

### Developing Hispanic-serving institutions

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HSIs may use their funds to plan, develop, and implement activities that encourage: faculty and academic program development; better management of funds and administration; construction and maintenance of instructional facilities; student services; the establishment of a program of teacher education designed to qualify students to teach in public schools; establishment of community outreach programs that encourage elementary and secondary school students to develop the academic skills and the interest to pursue postsecondary education; and creating or improving facilities for Internet or other distance learning academic instruction capabilities, including purchase or rental of telecommunications technology equipment and services. Also, HSIs may use no more than 20 percent of the grant funds to establish or increase an institution's endowment fund. The endowment funds must be matched at a rate of one non-Federal dollar for each Federal dollar. If an HSI receives funding under this program, it cannot receive funding under Part A or Part B of Title III.

The College Cost Reduction and Access Act (CCRAA) provides \$100 million in mandatory funding to HSIs to support the kinds of activities being supported under the existing program, except that the Secretary is required to give priority for applications that propose to increase the number of Hispanic and other low income students attaining degrees in fields of science, technology, engineering, and mathematics (STEM) and to applications that propose to develop model transfer and articulation agreements between the 2-year and 4-year HSIs in such fields.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$93,993
2005.....	95,106
2006.....	94,914
2007.....	94,914
2008.....	193,256 <sup>1</sup>

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<sup>1</sup> Includes \$100,000 thousand in mandatory funds provided under the CCRAA.

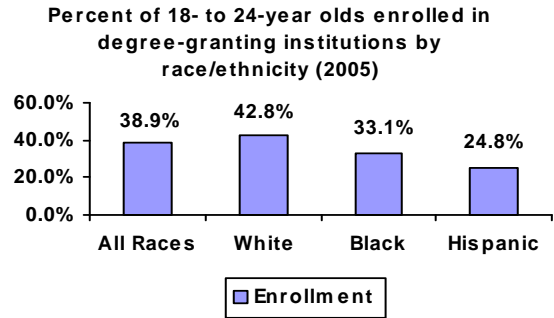
### FY 2009 BUDGET REQUEST

The Administration requests \$74.4 million for the Developing HSIs program, a decrease of \$18.8 million or 20 percent, from the 2008 discretionary level. The Administration is proposing this reduction in fiscal year 2009 because CCRAA provides an additional \$100 million in both fiscal years 2008 and 2009 to be awarded to HSIs for the kinds of activities currently being supported under the existing program. Even with the proposed reduction, the Department would be providing \$79.5 million more in support in fiscal year 2009 for an estimated 60 additional projects at HSIs than it provided in fiscal year 2007.

## HIGHER EDUCATION

### Developing Hispanic-serving institutions

While Hispanics have made significant gains in education over the last several decades, their enrollment rates and degree attainment remain lower than those of their non-Hispanic peers. In 2005, only 24.8 percent of all Hispanics in the age group 18-24 years were enrolled in degree-granting institutions, versus 42.8 percent of all non-Hispanic white students. (See graph.)



In 2004-2005, Hispanics earned only 7.0 percent of the bachelor's degrees, 5.5 percent of the master's degrees, and 3.5 percent of the PhDs awarded in the United States though they comprise nearly 15 percent of the population. The 2009 request, combined with the mandatory funding, is intended to help close the achievement gap between HSI and non-HSI students by supporting approximately 228 non-competing continuation projects at HSIs. Hispanic enrollment in HSIs accounted for more than half of the total Hispanic enrollment in colleges and universities in 2005.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Discretionary Funding:</b>			
<b>Individual Development awards:</b>			
Number of new awards	25	19 <sup>1</sup>	0
Average new award	\$545	\$584	0
Total new award funding	\$13,631	\$11,097	0
Number of NCC awards	69	79	84
Average NCC award	\$486	\$530	\$531
Total NCC award funding	\$33,557	\$41,847	\$44,638
<b>Cooperative Arrangement awards:</b>			
Number of new awards	5	0	0
Average new award	\$710	0	0
Total new award funding	\$3,551	0	0
Number of NCC awards	69	60	44
Average NCC award	\$639	\$672	\$677
Total NCC award funding	\$44,062	\$40,312	\$29,804
Peer review of new award applications	\$113	0	0

<sup>1</sup> Instead of conducting a new competition in fiscal year 2008 the Department plans to fund down the fiscal year 2007 grant slate to make new awards in fiscal year 2008 because a significant number of high-quality applicants remained on the fiscal year 2007 slate.

## HIGHER EDUCATION

### Developing Hispanic-serving institutions

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
CCRAA Mandatory Funding:			
Number of new awards	0	100	0
Average new award	0	\$990	0
Total new award funding	0	\$99,000	0
Number of NCC awards	0	0	100
Average NCC award	0	0	\$1,000
Total NCC award funding	0	0	\$100,000
Peer review of new award applications	0	\$1,000	0
Total award funding	\$94,914	\$193,256	\$174,442
Discretionary	\$94,914	\$93,256	\$74,442
Mandatory	0	\$100,000	\$100,000
Total number of awards	168	258	228

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: To improve the capacity of minority-serving institutions, which traditionally have limited resources and serve large numbers of low-income and minority students, to improve student success, and to provide high-quality educational opportunities for their students.**

**Objective:** *Increase the enrollment, persistence, and graduation rates at Hispanic-serving institutions.*

<b>Measure:</b> The percentage change, over the 5-year grant period, of the number of full-time degree-seeking undergraduates enrolling at HSIs.		
Year	Target	Actual
2004		6.7
2005		9.2
2006		9.9
2007		10.7
2013	TBD (December 2008)	

## HIGHER EDUCATION

### Developing Hispanic-serving institutions

**Measure:** The percentage of first-time, full-time degree-seeking undergraduate students who were in their first year of postsecondary enrollment in the previous year and are enrolled in the current year at the same HSI.

**Measure:** The percentage of first-time, full-time degree-seeking undergraduates students enrolled at 4-year HSIs graduating within 6 years of enrollment.

**Measure:** The percentage of first-time, full-time degree-seeking undergraduates students enrolled at 2-year HSIs graduating within 3 years of enrollment.

Year	Target			Actual		
	Persistence	Graduation 4-yr	Graduation 2-yr	Persistence	Graduation 4-yr	Graduation 2-yr
2004				67	36	22
2005				66	35	21
2006	67	34	36	64	35	21
2007	68	37	22	64		
2008	68	37	22			
2009	68	37	23			

**Assessment of progress:** The Department has recast the measure of long-term enrollment to focus on changes in enrollment rather than the absolute numbers of students enrolled. The new measure uses the same National Center for Education Statistics (NCES)/Integrated Postsecondary Education Data Systems (IPEDS) fall enrollment data for all full-time degree-seeking undergraduate students used by the former measure except that the new measure tracks program enrollment at the beginning of, and one year after the end of, each 5-year grant period. The percentage change is calculated against the base year. Data from the 2003-2007 cohort will be used to determine the target for 2013. The target for 2013 will be for the 2008-2012 cohort and will be developed in late 2008, using fiscal year 2008 enrollment data. This will close out the performance assessment for the 2003 cohort.

For the second year in a row, the program did not meet the target set for student persistence. Student persistence at HSIs has declined slightly in recent years, as has student persistence nationally. Program performance on the 4-year graduation measure exceeded the target set in 2006, while program performance on the 2-year graduation measure did not meet the program's goal. Beginning in 2007, targets for graduation have been recalculated given actual performance. Graduation data for 2006-2007 will be available in December 2008. The performance data are derived from electronic annual performance reports from program grantees and the National Center for Education Statistics (NCES)/Integrated Postsecondary Education Data Systems (IPEDS). IPEDS data are reported by all institutions participating in these programs and are subject to NCES' consistency and validity checks.

### Efficiency Measures

The Department measures cost per successful outcome for the Developing HSIs program.

<b>Measure:</b> Cost per successful outcome: Federal cost per undergraduate and graduate degree at HSIs.	
Year	Actual
2003	\$1,058
2004	\$1,030
2005	\$1,015
2006	\$962

## HIGHER EDUCATION

### Developing Hispanic-serving institutions

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**Assessment of progress:** This measure is calculated as the appropriation for the Developing HSIs program divided by the number of undergraduate and graduate degrees awarded. The Department expects to have targets developed by October 2008. The efficiency measure data, along with other performance measures, will be used as part of grantee-level analyses that the Department expects to complete and post to the Department's website during 2008. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as to identify promising practices for improving program performance outcomes. The efficiency measure can be used to measure overall program performance over time. A similar efficiency measure has been established for the Title III Aid for Institutional Development programs as well as for Howard University. This metric may enable the Department to assess program performance across institutions with similar types of missions.

### Followup on PART Findings and Recommendations

The Developing HSIs program was assessed using the PART in fiscal year 2005 and received an assessment rating of Results Not Demonstrated. In conducting the PART review, it was determined that the program's previous measures (which tracked the percentage of institutional project goals that were successfully completed with respect to improvements in academic quality, institutional management and fiscal stability, and student services and student outcomes) may not be optimal measures of program performance. To address this finding, the Department developed three outcome measures that track student enrollment, persistence, and graduation rates at HSIs.

The PART improvement plan recommendations are presented below, followed by a description of the Department's actions to address them.

- *Complete the study on the financial health of minority serving institutions of higher education and utilize the results to validate program performance measures and improve program performance.* The Department continues to monitor the implementation of the "Assessment of the Financial Health of Institutions Supported by Title III and Title V of the Higher Education Act." One purpose of the analysis is to determine whether the financial status of the institutions is improving or becoming worse and to identify what drivers are affecting the financial health of institutions, including whether enrollment, persistence, and graduation—the newly established measures for the Title III/V programs—are drivers of financial health. In addition, the analysis is expected to show whether the programs authorized by the HEA are positively affecting the institutions' financial health. The study is expected to be published in March 2008.
- *Develop strategies to use efficiency and performance data for program improvement purposes.* The Department is conducting grantee-level analysis of available data and expects to identify options that might lead to program improvement by October 2008.
- *Make grantee performance data available to the public in a transparent and meaningful manner.* The Developing HSIs program profile report was sent to program grantees. Efforts are underway to analyze the most recent performance data for future reports and to



## HIGHER EDUCATION

### **Developing Hispanic-serving institutions**

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increase the timeliness of making the data available to the public. The Developing HSIs performance assessment report will be posted on the Department's website in April 2008.

## HIGHER EDUCATION

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### International education and foreign language studies: Domestic programs

(Higher Education Act of 1965, Title VI, Parts A and B)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$93,941	\$94,941	+\$1,000

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Domestic Programs are designed to strengthen the capability and performance of American education in foreign languages and in area and international studies. The IEFLS programs have their origin in the National Defense Education Act of 1958 as a response to the need to strengthen instruction in foreign languages insufficiently taught in the United States as well as area and international studies.

Nine major IEFLS Domestic Programs are currently funded under Title VI of the Higher Education Act.

National Resource Centers support institutions of higher education (IHEs) or consortia of such institutions in establishing, operating, and strengthening advanced centers to train students, specialists, and other scholars; maintaining important library collections and related training and research facilities; conducting advanced research and development activities; establishing linkages between IHEs and other academic, governmental, and media entities; operating summer institutes in the United States or abroad; and providing outreach and consultative services at the national, regional, and local levels. Funds also support faculty, staff, and student travel in foreign areas, regions, or countries; and the development and implementation of educational programs abroad for students. National Resource Centers are funded for up to 4 years, with funds allocated on an annual basis pending satisfactory performance by the Centers and availability of funds.

Foreign Language and Area Studies Fellowships Program supports academic year and summer fellowships for graduate-level training at IHEs having nationally recognized programs of excellence. Students apply directly to IHEs that have received fellowship allocations from the Department of Education. Students receiving fellowships must be individuals who are engaged in an instructional program with stated performance goals for functional foreign language use or in a program developing such performance goals, in combination with area studies, international studies, or the international aspects of a professional studies program, including predissertation level studies, preparation for dissertation research, dissertation research abroad, and dissertation writing. Before awarding a fellowship for use outside the United States, an institution must obtain approval from the Department of Education. A fellowship may be

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approved for use outside the United States if (1) the student is enrolled in an advanced overseas modern foreign language program approved by the institution where the student is enrolled in the United States; or (2) the student is engaged in research that cannot be effectively done in the United States and is affiliated with an IHE or other appropriate organization in the host country. Institutions are funded for up to 4 years and, in turn, award fellowships annually to individual graduate students on a competitive basis.

Undergraduate International Studies and Foreign Language Program supports IHEs or consortia of IHEs in establishing, operating, and strengthening instructional programs in international studies and foreign language at the undergraduate level. Eligible activities may include but are not limited to the development of a global or international studies program that is interdisciplinary in design; development of a program that focuses on issues or topics, such as international business or international health; development of an area studies program and programs in corresponding foreign languages; creation of innovative curricula that combine the teaching of international studies with professional and preprofessional studies, such as engineering; research for and development of specialized teaching materials, including language instruction, i.e., business French; establishment of internship opportunities for faculty and students in domestic and overseas settings; and development of study abroad programs. Grantees must provide matching funds in either of the following ways: (1) cash contributions from the private sector equal to one-third of the total project costs; or (2) a combination of institutional and non-institutional cash or in-kind contributions equal to one-half of the total project costs. The Department may waive or reduce the required matching share for institutions that are eligible to receive assistance under Part A or Part B of Title III or under Title V of the Higher Education Act of 1965. Grant awards are normally made for 2 years. However, organizations, associations, and institutional consortia are eligible for up to 3 years of support.

International Research and Studies Program supports projects carried out by IHEs, public and private nonprofit organizations, and individuals that are designed to: determine the need for improved or increased instruction in modern foreign language and area and international studies; develop more effective teaching methods and standardized measures of competency; develop specialized curriculum materials; evaluate the extent to which programs that address national needs would not otherwise be offered; study and survey the uses of technology in foreign language and area and international studies programs; and determine through studies and evaluations effective practices in the dissemination of information throughout the education community, including elementary and secondary schools. The Department funds participants through grants and contracts for up to 3 years. A Small Business Innovation Research (SBIR) project may also be funded under this program.

Business and International Education Projects support IHEs in designing 2-year projects both to enhance international academic programs and to promote linkages between the IHEs and the international business community engaged in international economic activity. Eligible activities include but are not limited to: improve the business and international education curriculum of institutions to serve the needs of the business community, including the development of new programs for mid-career or part-time students; develop programs to inform the public of increasing international economic interdependence and the role of U.S. businesses within the international economic system; internationalize curricula at the junior and community college level and at undergraduate and graduate schools of business; develop area studies and

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interdisciplinary international programs; establish export education programs; conduct research and develop specialized teaching materials appropriate to business-oriented students; establish student and faculty fellowships and internships or other training or research opportunities; create opportunities for business and professional faculty to strengthen international skills; develop research programs on issues of common interest to IHEs and private sector organizations and associations engaged in or promoting international economic activity; establish internships overseas to enable foreign language students to develop their foreign language skills and knowledge of foreign cultures and societies; establish links overseas with IHEs and organizations that contribute to the education objectives of the BIE program; and establish summer institutes in international business, foreign areas, and other international studies designed to carry out the purposes of the BIE program. The Federal share of the projects cannot exceed 50 percent of the total cost.

Centers for International Business Education support IHEs by paying the Federal share of the cost of planning, establishing, and operating centers that provide a comprehensive university approach to improving international business education by bringing together faculty from numerous disciplines. The Centers serve as national and regional business resources for teaching improved business strategies to students and business professionals; provide instruction in critical foreign language and international fields; and support research and training in the international aspects of trade and other fields of study. Grants are made for 4 years. The Federal share of the cost of planning, establishing, and operating the Centers cannot exceed 90 percent, 70 percent, or 50 percent in the first, second, third and following years, respectively.

Language Resource Centers support IHEs or consortia of IHEs in improving the teaching and learning of foreign languages. The activities carried out by the Centers must include effective dissemination efforts, whenever appropriate, and may include: the conduct and dissemination of research on new and improved teaching methods (including the use of advanced educational technology) to the education community; the development, application, and dissemination of performance testing appropriate to an educational setting for use as a standard and comparable measurement of skill levels in all languages; the training of teachers in the administration and interpretation of the performance tests; a significant focus on the teaching and learning needs of the less commonly taught languages and the publication and dissemination of instructional materials in those languages; the development and dissemination of materials designed to serve as a resource for foreign language teachers at the elementary and secondary school levels; and the operation of intensive summer language institutes. Language Resource Centers are eligible for up to 4 years of support.

American Overseas Research Centers Program makes grants to consortia of IHEs to promote postgraduate research, faculty and student exchanges, and area studies. Funds may be used to pay for all or a portion of the cost of establishing or operating a center or program. Costs may include faculty and staff stipends and salaries; faculty, staff, and student travel; operation and maintenance of overseas facilities; teaching and research materials; the acquisition, maintenance, and preservation of library collections; travel for visiting scholars and faculty members who are teaching or conducting research; preparation for and management of conferences; and the publication and dissemination of material for the scholars and general public. Centers are eligible for 4 years of support.

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Technological Innovation and Cooperation for Foreign Information Access supports IHEs or public or nonprofit private libraries in developing innovative techniques or programs using new electronic technologies to collect, organize, preserve, and widely disseminate information on world regions that address our Nation's teaching and research needs in international education and foreign languages. Grants may be used to facilitate access to or to preserve foreign information resources in print or electronic forms; develop new means of immediate, full-text document delivery for information and scholarship from abroad; develop new means of shared electronic access to international data; support collaborative projects for indexing, cataloging, and providing other means of bibliographic access for scholars to important research materials published or distributed outside the United States; develop methods for the wide dissemination of resources written in non-Roman alphabets; assist teachers of less commonly taught languages in acquiring, via electronic and other means, materials suitable for classroom use; and promote collaborative technology-based projects in foreign languages, area studies, and international studies among grant recipients under Title VI of the HEA. The Federal share of the projects cannot exceed two-thirds of the total cost. Awards are made for 4 years.

The eighth annual International Education Week (IEW) was celebrated November 12-16, 2007. IEW is a joint initiative of the Departments of State and Education to promote programs that prepare Americans for a global environment and attract future leaders from abroad to study, learn, and exchange experiences in the United States. IEW was first held in 2000 and today is celebrated in more than 100 countries worldwide. The Departments of State and Education initiated IEW as part of their efforts to move ahead on the issue of implementing U.S. international education policy. Education's international education programs and activities are designed to:

- Increase U.S. knowledge and expertise about other regions, cultures, languages and international issues;
- Share with other countries information about U.S. education policies and practices, providing leadership on education issues, and working with international partners on initiatives of common benefit;
- Learn more about the effective policies and practices of other countries to improve teaching and learning in the U.S.; and
- Support U.S. foreign and economic and security interests, in cooperation with the Department of State, by strengthening relationships with other countries and promoting U.S. education.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$89,211
2005.....	92,466
2006.....	91,541
2007.....	91,541
2008.....	93,941

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#### FY 2009 BUDGET REQUEST

The Administration requests a total of \$94.9 million for the Domestic Programs, an increase of \$1 million or 1.1 percent, over the 2008 level. The Domestic Programs have helped to develop and maintain American expertise in world cultures and economies, and foreign languages. The requested increase would support the development of new assessment tools for measuring improvements in language competency for the International Education and Foreign Language Studies (IEFLS) programs. A recent study of the IEFLS programs, conducted by the National Research Council, as well as the PART reassessment for the IEFLS Domestic Programs, found that the language proficiency of Foreign Language and Area Studies fellowship recipients is not being adequately assessed, as the Department allows grantees to use a self-evaluation approach to collect information about improvement in language proficiency. Grants supporting the development of new assessment tools for measuring improvements in language competency would provide more reliable and valid performance data.

It is critical for our Nation to have a readily available pool of international area and language experts for economic, foreign affairs, and defense purposes. The increased complexity of the post-Cold War world, the events surrounding the September 2001 terrorist attacks on the United States, and the war on terrorism underscore the importance of maintaining and expanding this expertise. The Title VI programs are key to the teaching and learning of languages vital to the national interest and the programs serve as a national resource. Under the direction of the President, the Departments of Education, Defense, and State and the Office of the Director of National Intelligence are implementing the National Security Language Initiative (NSLI), a comprehensive national plan to expand foreign language education beginning in early childhood and continuing throughout formal schooling and into the workforce. The NSLI is built around three broad goals to address weaknesses in our teaching and learning of foreign languages, especially languages considered most critical for national security. The NSLI goals are to:

- Expand the number of Americans mastering critical need languages and start at a younger age.
- Increase the number of advanced-level speakers of foreign languages, with an emphasis on critical need languages.
- Increase the number of critical need language teachers and the resources available to them.

Within the request for Domestic Programs, \$1 million would be set aside to develop NSLI's e-Learning Clearinghouse to be established under the Language Resource Centers (LRCs) program. The e-Learning Clearinghouse would include materials and resources previously developed by the LRCs, educational agencies, institutions of higher education, and other agencies of the Federal Government. The materials will be available to all language teachers in both K-12 and institutions of higher education. While materials are currently available from the State and Defense Departments and from Title VI Centers, they are not catalogued in one place. This Clearinghouse will serve as a central repository for schools, teachers, and the public to find materials and web-based programs in critical needs languages.

Continued funding for the Domestic programs addresses the urgent need to strengthen instruction in foreign languages and related area studies that are less commonly taught,

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especially for the purposes of national security readiness. The Domestic Programs focus their resources on those areas of the world often neglected in the curricula of institutions of higher education and the foreign languages that are spoken in those world areas. Today, these programs support the teaching of 130 to 140 foreign languages and training in a great variety of disciplines focused on the regions where these languages are spoken. Among these languages are: Arabic, Amharic, Azeri, Swahili, Zulu, Korean, Indonesian, Vietnamese, Armenian, Serbo-Croatian, Tajik, Turkish, Urdu, Uzbek, Persian/Dari and Pashto. Current and former participants in the Domestic Programs and their employing institutions are important sources of interdisciplinary expertise on areas critical to the national interest. These world areas include Central Asia, South Asia, the Middle East, East Asia, Southeast Asia, Central Europe and Eurasia, Africa, and Latin America.

The request for the Domestic Programs also reflects recognition that a strong Federal commitment to leadership in international education is essential for American success in an increasingly internationalized economy. Through the IEFLS business programs, IHEs are linked with businesses in a mutually beneficial relationship that fosters our Nation's economic strength. Currently there are 31 Centers for International Business Education (CIBEs) throughout the U.S.

IEFLS programs provide "seed money" that is matched by institutions, associations, and private sector firms. Federal funding provided by the IEFLS programs leverages a large amount of non-Federal funding. Thus, the Administration is able to have a more substantial impact on the field of international education for its investment of taxpayer dollars. Since some of the IEFLS programs focus on training teachers, they create a significant educational "ripple effect." Each teacher or faculty member trained under an IEFLS program takes the experience back to the classroom, in training the next generation of language and area studies experts.

In fiscal year 2008, the Department has announced the following priorities for its grant competitions:

- Undergraduate International Studies and Foreign Language Program

Competitive preference priorities: (1) Applications that: (a) require entering students to have successfully completed at least 2 years of secondary school foreign language instruction; (b) require each graduating student to earn 2 years of postsecondary credit in a foreign language or have demonstrated equivalent competence in the foreign language; or (c) in the case of a 2-year degree granting institution, offer 2 years of postsecondary credit in a foreign language; and (2) projects that support activities to enable students to achieve proficiency or advanced proficiency or to develop programs in one or more of the following less commonly taught languages: Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.

Invitational priorities for projects that (1) provide in-service training for K-12 teachers in foreign languages and international studies and that strengthen instruction in international studies and foreign languages in teacher education programs, and (2) include a plan for assessment of student foreign language competency. A plan of assessment should include clearly defined student-learning outcomes and externally validated assessment approaches.

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- Business and International Education Projects

Competitive preference priorities: (1) the establishment of internships overseas to enable foreign language students to develop their foreign language skills and their knowledge of foreign cultures and societies.

Invitational priorities for applications that: (1) propose projects that include activities focused on the countries in which the following critical languages are spoken: Arabic, Chinese, Japanese, Korean, Russian as well as Indic, Iranian, and Turkic language families; (2) focus on developing, improving and/or disseminating best practices of international business training programs, teaching, and curriculum development to increase American competitiveness; (3) expand the capacity of the business community to engage in international economic activities by developing college/business partnerships that provide internships for business students or science, technology, engineering, and mathematics (STEM) students who may seek careers in the global marketplace; and (4) prepare STEM or business students to work cross-culturally in international settings by providing opportunities for them to study foreign languages.

Grants awarded under these competitions would be continued in fiscal year 2009.

Legislation to reauthorize the Higher Education Act is currently pending in the Congress. The Administration supports a number of provisions in the Senate proposal (S. 1642), including several that would respond to criticisms about how some institutions are using their Title VI funds, particularly the National Resource Centers. These include requiring applicants to explain how funded activities would reflect diverse perspectives and a wide range of views and requiring applicants to address how their projects will encourage government service in areas of national need. The Administration also supports authorization to use up to 1 percent of Title VI funds for evaluation, outreach, and information dissemination activities. Passage of these proposals could alleviate some of the concerns raised by the public about political, cultural, or philosophical biases reflected in the programs and materials developed with Title VI support. The Administration does not support expansion of the FLAS program to include stipends/services for undergraduate students (in the intermediate or advanced study of a less commonly taught language) that is included in both the House (H.R. 4137) and Senate reauthorization proposals because funding for undergraduate students is available under the National Science and Mathematics Access to Retain Talent Grants—National SMART Grants Program. In addition, the Administration supports the creation of an advisory board which would enhance oversight of and accountability in Title VI programs and ensure that the portfolio of grants adequately address the full spectrum of critical world regions and languages, including those of rising importance.



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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>National Resource Centers:</b>			
Number of new awards	1	0	0
Average new award	\$229	0	0
Total new award funding	\$229	0	0
Number of NCC awards	124	125	125
Average NCC award	\$231	\$236	\$232
Total NCC award funding	\$28,620	\$29,557	\$29,040
Total award funding	\$28,849	\$29,557	\$29,040
Total number of awards	125	125	125
<b>Foreign Language and Area Studies Fellowships:</b>			
Academic year fellowships	926	946	946
Average academic year fellowship	\$27	\$27	\$27
Summer fellowships	635	685	685
Average summer year fellowship	\$7	\$7	\$7
Number of NCC awards	124	124	124
Average NCC award	\$235	\$242	\$242
Total NCC award funding	\$29,130	\$29,995	\$29,995
Total award funding	\$29,130	\$29,995	\$29,995
Total number of awards	124	124	124
<b>Undergraduate International Studies and Foreign Language Program:</b>			
Number of new awards	30	25	28
Average new award	\$79	\$81	\$81
Total new award funding	\$2,358	\$2,022	\$2,274
Number of NCC awards	24	30	25
Average NCC award	\$81	\$79	\$81
Total NCC award funding	\$1,942	\$2,358	\$2,037
Total award funding	\$4,300	\$4,380	\$4,311
Total number of awards	54	55	53

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>International Research and Studies</b>			
<b>Projects:</b>			
Number of new awards	13	14	23
Average new award	\$117	\$117	\$167
Total new award funding	\$1,527	\$1,642	\$3,839 <sup>1</sup>
Number of NCC awards	32	32	25
Average NCC award	\$134	\$134	\$120
Total NCC award funding	\$4,296	\$4,288	\$2,998
Total award funding	\$5,823	\$5,930	\$6,837
Total number of awards	45	46	48
<b>Business and International Education Projects:</b>			
Number of new awards	26	28	33
Average new award	\$82	\$82	\$81
Total new award funding	\$2,124	\$2,296	\$2,670
Number of NCC awards	27	26	20
Average NCC award	\$82	\$82	\$84
Total NCC award funding	\$2,216	\$2,124	\$1,680
Total award funding	\$4,340	\$4,420	\$4,350
Total number of awards	53	54	53
<b>Centers for International Business Education:</b>			
Number of NCC awards	31	31	31
Average NCC award	\$344	\$350	\$344
Total NCC award funding	\$10,650	\$10,840	\$10,669
Total award funding	\$10,650	\$10,840	\$10,669
Total number of awards	31	31	31

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<sup>1</sup> Includes \$1,000 thousand to support grants associated with the development of new assessment tools for measuring improvements in language competency.

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Language Resource Centers:</b>			
Number of new awards	0	0	1 <sup>1</sup>
Average new award	0	0	\$1,000
Total new award funding	0	0	\$1,000
Number of NCC awards	15	15	15
Average NCC award	\$323	\$335	\$330
Total NCC award funding	\$4,844	\$5,030	\$4,950
Total award funding	\$4,844	\$5,030	\$5,950
Total number of awards	15	15	16
<b>American Overseas Research Centers:</b>			
Number of new awards	11	0	0
Average new award	\$91	0	0
Total new award funding	\$1,000	0	0
Number of NCC awards	0	11	11
Average NCC award	0	\$91	\$91
Total NCC award funding	0	\$1,000	\$1,000
Total award funding	\$1,000	\$1,000	\$1,000
Total number of awards	11	11	11
<b>Technological Innovation and Cooperation for Foreign Information Access:</b>			
Number of NCC awards	10	10	10
Average NCC award	\$170	\$170	\$170
Total NCC award funding	\$1,700	\$1,700	\$1,700
Total award funding	\$1,700	\$1,700	\$1,700
Total number of awards	10	10	10
Program evaluation, national outreach, and information dissemination	\$756	\$939	\$939
Peer review of new award applications	\$149	\$150	\$150
Total Domestic funding	\$91,541	\$93,941	\$94,941
Total Domestic awards	468	471	471

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<sup>1</sup> Includes \$1,000 thousand for the e-Learning Clearinghouse.

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: To meet the Nation's security and economic needs through the development of a national capacity in foreign languages, and area and international studies.**

**Objective:** *Provides Foreign Language and Area Studies (FLAS) academic year and summer fellowships to institutions of higher education to assist graduate students in foreign language and either area or international studies.*

<b>Measure:</b> Average competency score of Title VI FLAS fellowship recipients at the end of 1 full year of instruction will be at least one competency level higher than their average score at the beginning of the year.		
Year	Target	Actual
2004	1.20	1.22
2005	1.20	1.20
2006	1.20	
2007	1.20	
2008	1.20	
2009	1.20	

**Assessment of progress:** Overall change in the language competency reported by fellows reflects improvement at all stages (beginner, intermediate, advanced) and for the three modalities of language acquisition (reading, writing, listening/speaking). Beginning language students may be expected to make larger advances over a given time period (and therefore have larger change scores) than more advanced students. A target value of 1.2 for change over the year reflects an ambitious overall goal for the program. Grantees are required to submit annual performance reports via the International Resource Information System (IRIS). Data for 2006 will be available in February 2008.

As part of the 2007 PART reassessment, the Department established additional new annual and long-term performance measures for the two largest Title VI Domestic programs—National Resource Centers (NRC) and Foreign Language and Area Studies (FLAS) Fellowships.

The new NRC measures track the:

- Percentage of less and least commonly taught languages, as defined by the Department of Education, that are taught at our Nation's Title VI NRCs. To focus the program on national needs, the Department will develop a complementary list of less and least commonly taught

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languages from which certain languages will be deemed "critical need languages" by July 2008;

- Percentage of critical need languages, as defined by the Department of Education, taught at NRCs; and
- Percentage of NRC grantees teaching intermediate or advanced courses in critical need languages, as defined by the Department of Education.

The new FLAS measures track the:

- Percentage of FLAS masters' and doctoral graduates who studied critical need languages, as defined by the Department of Education, and
- Percentage of FLAS participants who report that they found employment that utilizes their language and area skills. The Department will make data by employment sector available on its website.

The Department replaced the prior measure of employment for NRC graduates, which focused on higher education, government, and national security (military) with another measure that will track FLAS participants who report that they found employment that utilizes their language and area skills against established targets. The Department intends to report data by employment sector, as IRIS tracks placement at the BA, MA, and PhD for the following sectors—elementary/secondary, Federal Government, foreign government, graduate study, higher education, international organizations (in the U.S. and abroad), private sector (profit and non-profit), military service, State and local government, unemployed, and unknown. The Department will make data by employment sector available on its website. Data for these performance measures will be derived from IRIS. The Department expects to collect baseline data and develop targets for these measures by summer 2008.

### Efficiency Measures

The efficiency measure tracks cost per successful outcome.

<b>Measure:</b> Cost per Foreign Language and Area Studies Fellowship fellow increasing average language competency by at least one level.			
Year	Funding	Number of Fellows	Actual
2004	\$27.0 million	1,546	\$17,439
2005	\$28.2 million	1,647	\$17,124

**Assessment of progress:** The calculation for the efficiency measure is the annual funding for the program divided by the number of FLAS fellows increasing their average language competency by at least one point from pre- to post-test. Grantee-level data will be used to establish targets, improve performance, identify opportunities for technical assistance, provide early warning that a project may need more intensive oversight, and identify best practices. The Department expects to establish targets by summer 2008.

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#### Other Performance Information

A number of studies have been conducted over the years to evaluate aspects of the Domestic Programs. A few are outlined below.

- In 2007, the National Research Council of the National Academies completed its review of Title VI International Education programs supported under the Higher Education Act as well as Section 102(b)(6) Fulbright-Hays International Education programs in a study entitled *International Education and Foreign Languages: Keys to Securing America's Future*. The National Research Council reviewed the adequacy and effectiveness of Title VI and Fulbright-Hays programs in addressing their statutory missions and in building the Nation's international and foreign language expertise—particularly as needed for economic, foreign affairs, and national security purposes. Despite its many recommendations for improvement, the Council recognizes that the Title VI/Fulbright-Hays programs have served as a foundation in the internationalization of higher education and should continue to do so. In addition, the Council:
  - Found that within the Title VI/Fulbright-Hays programs there was a need for better and more reliable data and for greater coordination within the Department and across other Federal agencies.
  - Commented on the lack of rigorous, reliable information available on Title VI program performance and made recommendations for better program transparency and evaluation. Specifically, it found that the performance measures used by the Department and annual aggregate data reported by grantees provided insufficient information to appropriately judge program performance;
  - Found that the language proficiency of Foreign Language and Area Studies fellowship recipients is not being adequately assessed, as the Department uses a self-evaluation approach to collect information about improvement in language proficiency;
  - Concluded that the Department of Education does not have strategic coordination of foreign language and international programs within the Department or with other Federal agencies. They recommended creating a Senate confirmed position within the Department to better coordinate programs within the Department and with other agencies;
  - Commented that a key hindrance to establishing a pipeline of students who can eventually reach a high level of proficiency is the significant lack of K-12 teachers with foreign language and international expertise; and
  - Stated that international education programs appear to have had little effect so far on the number of underrepresented minorities in international service. The Institute for International Public Policy Fellowship Program doesn't reach many students and has significant costs.
- A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on academic and employment outcomes (as of 2006)

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of graduate students who received financial support through the Department's graduate fellowship programs between 1997 and 1999, including the Foreign Language and Area Studies (FLAS) fellowship program. The final results of the study will confirm the validity of performance report data on employment outcomes and improvement in language competency. While the final report will not be ready for publication until early in 2008, some preliminary descriptive data are available. Preliminary data from the study indicates:

- FLAS fellows studied a wide variety of languages. South Asia and East Asian languages were among the most common, being the language studied in about one-third of FLAS fellowships, and 35 percent of fellowships supported the study of a language spoken in central Asia, the Middle East, or Africa. About 70 percent of fellowships supported the study of a critical foreign language as defined by the Department of Education.
- Students who received FLAS fellowships were highly likely to complete their degrees. Master's and first-professional degree students were far more likely (95-96 percent) than doctoral students (72 percent) to have completed their degrees at the time of the survey.
- Regardless of their degree completion status, FLAS fellows reported that their oral and written language skills improved over the course of their FLAS-supported study. At the time of the survey, FLAS fellows rated their abilities to speak, write, and read the languages they studied with FLAS support both at the time they began FLAS-supported study and at the time they completed that study at a variety of levels. They rated their speaking and listening ability on a 5-level scale, and their reading and writing abilities on 6-level scales. On average, FLAS fellows reported a level 2 ability with respect to each of these skills at the time they began each FLAS-supported language study, and reported level 3 or 4 ability at the close of that study. FLAS fellowship recipients averaged a one-level gain in proficiency. This data compares favorably to data collected through IRIS on Title VI FLAS fellowship recipients.
- Nearly all fellows (92 percent) worked after completing their fellowships, and a majority of fellows (71 percent) worked in jobs that involved expertise they had gained through their FLAS-supported study. Nearly all fellows who reported working in a related job considered that job to be part of a career they were pursuing.
- Among fellows who had held at least one job related to the field they had studied with FLAS support, three-quarters of fellows worked in education, one-fifth in a U.S. private sector job, and one-fifth in foreign or international jobs. About one in nine worked for the military or other Government positions.
- Of fellows who had worked for pay since completing the fellowship, 68 percent worked in a job in which teaching was a major responsibility. These fellows had taught for an average of 3 years at the time of the survey, and 86 percent of them had taught in a field related to the FLAS-supported study.
- FLAS fellows believed that FLAS was very helpful in their degree completion and at least somewhat helpful in obtaining employment in a desired field. Over one-half

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### International education and foreign language studies: Domestic programs

reported that receiving a FLAS fellowship influenced their occupation and career choices.

While these findings are encouraging, it should be noted that the overall response rate—the proportion of fellowships for which a survey was completed—was less than 50 percent. In addition, the study does not offer data on outcomes for an appropriate comparison group due to limitations in the Department's data sources. Despite these reservations and limitations, the data indicate positive outcomes.

- A 2005 report funded by the Department, *Securing Our Nation's Future through International Business Education: 15 Years of CIBER 1989-2004*, cites Centers for International Business Education (CIBER) program accomplishments over 15 years. The report highlights that:
  - Over 902,950 students have taken the over 28,450 courses with international business emphasis offered by CIBER-funded universities. Over 4,066 international courses have been created or upgraded.
  - Approximately 92,000 CIBER graduates are expected to be working in internationally related positions 5 years after graduation.
  - Over 5,200 international business faculty and PhD research projects have been supported by CIBER funding. Over 3,200 working papers have been published.
  - Over 2.4 million students have benefited from enhanced commercial foreign language instruction at universities across the U.S.
  - Almost 57,000 students have participated in CIBER-sponsored internships, student exchanges, and study abroad programs.
  - Over 9.5 million students have benefited from improved international business education.
  - CIBERs collectively have affected approximately 4,925 businesses in 2003-2004.
- The National Foreign Language Center at Johns Hopkins University published a study in 1998 that lays out the critical role Title VI/Fulbright-Hays (F-H) programs play in maintaining the Nation's capacity to produce expertise in languages vital to the national interest. The study, funded through an International Research and Studies grant, includes extensive data on language needs for national security and economic competitiveness, as well as a thorough evaluation of the impact of Title VI and F-H on the language capacity of the United States. The basic conclusion of the study is that Title VI/F-H has constituted a major force in meeting the language needs of the country, particularly the less commonly taught languages (CTLs). Many of the languages most important to our national security would simply not be taught or researched in our Nation's colleges and universities without the support of Title VI/F-H.



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### International education and foreign language studies: Domestic programs

The small group of Title VI/F-H-supported institutions constitute the core of this Nation's capacity to teach the less CTLs at the university level. Language enrollments in 2- and 4-year colleges and universities show that Title VI-supported institutions represent less than 3 percent of all higher education institutions offering language instruction. Remarkably, however, this minute proportion of institutions accounts for almost 56 percent of the graduate enrollments and 21 percent of the undergraduate enrollments in less CTLs. For the least CTLs, the Title VI-supported institutions account for 64 percent of the graduate enrollments and 40 percent of the undergraduate enrollments.

#### **Followup on PART Findings and Recommendations**

A PART assessment for the IEFLS Domestic Programs was conducted in 2004. A rating of Results Not Demonstrated was assigned due in large part to the fact that there were not sufficient data available to assess the program's effectiveness against established targets. In fiscal year 2007, IEFLS Domestic Programs were reassessed and once again assigned a rating of Results Not Demonstrated. During the reassessment PART process, new program performance measures were introduced and many of the former performance measures were dropped. For example, the Department replaced the prior measure of employment for National Resource Center (NRC) graduates, which focused on higher education, government, and national security, because the authorizing statute does not promote employment in a particular field. The newly established measures focus on Title VI's mission of maintaining national capacity in a broad range of foreign languages while at the same time capture how well our programs respond to new and unanticipated language challenges. Long-term outcome measures based on data collected through the International Resource Information System (IRIS) performance reporting system and checked by external data sources will be used to assess the success of the Title VI programs.

The PART improvement plan recommendations are presented below, followed by a description of the Department's actions to address them.

- *Develop and implement a strategy to use efficiency measures to improve cost effectiveness in achieving the program goals.* The Department developed an efficiency measure—the cost per Foreign Language and Area Studies Fellowship fellow increasing average language competency by at least one level—for which baseline data are available. The Department expects to conduct grantee-level analysis of available data, and use it for identifying program improvement options and to develop efficiency measures targets by August 2008.
- *Complete the graduate fellowship programs study and utilize the results to validate program performance measures and improve program performance.* The Department is completing a comprehensive evaluation of all of the Department's graduate fellowship programs—including the Foreign Language and Area Studies Fellowship program and the Doctoral Dissertation Research Abroad program. The results of the study will confirm the validity of performance report data on employment outcomes and improvement in language competency. The study is scheduled to be published early in 2008.
- *Develop a list of less and least commonly taught languages from which the Secretary of Education would select certain languages as "critical need languages."* The Domestic

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### International education and foreign language studies: Domestic programs

Programs have a clear niche in supporting the preparation of the next generation of foreign language experts and maintaining a national presence in most languages. These programs are the most significant Federal investment in supporting language and area studies at our institutions of higher education. The Department collaborates with other Federal and non-governmental entities in managing the IEFLS programs to ensure that funding supports critical languages considered vital to the national interest. A complementary list of less and least commonly taught languages has been developed, and the "critical need languages" list is expected by July 2008.

- *Collect baseline data and set targets for the newly developed annual and long-term performance measures.* New annual and long-term measures have been created to assess the number of critical languages taught and student employment outcomes. The new measures focus on the programs' mission of maintaining national capacity in a broad range of foreign languages while also capturing how well the programs respond to new and unanticipated language challenges. The Department will begin modifications to the IRIS data collection system by March 2008 in order to collect data on FLAS fellows who find employment utilizing their language and area skills and the NRCs that are teaching intermediate or advanced courses in critical need languages.
- *Develop and implement a strategy for conducting independent rigorous, periodic, meaningful evaluations of the outcomes and impact of the Domestic Programs.* The National Research Council of the National Academy of Sciences reported in March 2007, that the programs lack meaningful evaluations and recommended independent outcome and impact evaluations be done every 4 to 5 years. The Department recognizes the need for independent outcome and impact evaluations and several independent studies have been published over the years that evaluated different elements of the IEFLS programs. However, most are not rigorous enough to fully determine impact. The Department will develop a plan for conducting periodic evaluations of the outcomes and impact of the Title VI programs by September 2008.
- *Develop a measure to track language skill changes through the use of reliable assessment tools.* The Administration's fiscal year 2009 budget request includes \$1 million to support grants associated with the development of new assessment tools for measuring improvements in language competency for the International Education and Foreign Language Studies (IEFLS) programs. The Department convened an expert group to explore this issue and develop guidelines for model measurement tools that assess various competencies (written communication, conversational fluency, specialized fluency, etc.) at varying cost levels (web based assessments, electronic assessments including voice recognition software, or one-on-one interviews with native speakers, for example). It is expected that a measure will be available for consideration by December 2008.
- *Make grantee performance data available to the public in a transparent and meaningful manner.* The Department made historical data, dating back to 2000, at the grantee level available on its website as of July 2007 for the following programs: American Overseas Research Centers, Centers for International Business Education, Foreign Language and Area Studies, Language Resource Centers, and National Resource Centers. Examples of data elements include publications, outreach activities, programs/courses

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### **International education and foreign language studies: Domestic programs**

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created/enhanced, and collaboration. In addition, the Department expects to conduct grantee-level analysis of available data on select IEFLS programs, and post it to the Department's website by June 2008.

## HIGHER EDUCATION

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### International education and foreign language studies: Overseas programs

(Mutual Educational and Cultural Exchange Act of 1961, Section 102(b)(6))

FY 2009 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$13,372	\$13,372	0

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### PROGRAM DESCRIPTION

The International Education and Foreign Language Studies (IEFLS) Overseas Programs provide participants with first-hand experience overseas that is designed to improve elementary, secondary, and postsecondary teaching and research concerning other cultures and languages, the training of language and area studies specialists, and the American public's general understanding of current international issues and problems.

Four major Overseas Programs in foreign languages and in area and international studies are authorized under the Mutual Educational and Cultural Exchange Act of 1961 (commonly known as the Fulbright-Hays Act). Under these programs, grants are provided on an annual basis to eligible institutions that in turn support projects of varying duration.

Group Projects Abroad Program supports group training, research, and curriculum development in modern foreign languages and area studies for teachers, college students, and faculty for periods from 1 to 12 months. In addition, the program supports advanced overseas intensive language projects designed to take advantage of the opportunities in foreign countries by providing advanced language training to students for a period of up to 36 months. Projects focus on all major world areas with the exception of Western Europe.

Faculty Research Abroad Program supports opportunities for faculty members of institutions of higher education to study and conduct advanced research overseas. Fellowships are generally reserved for scholars whose academic specializations focus on the less commonly taught languages and all major world areas with the exception of Western Europe. The fellowships are from 3 to 12 months in length.

Doctoral Dissertation Research Abroad Program supports opportunities for doctoral candidates to engage in full-time dissertation research overseas. Fellowships are generally reserved for junior scholars whose academic specializations focus on the less commonly taught languages and all major world areas with the exception of Western Europe. The fellowships are from 6 to 12 months in length.

Special Bilateral Projects with foreign countries support training and curriculum development opportunities for American teachers and faculty through short-term overseas seminars conducted in all major world areas with the exception of Western Europe.

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

IEFLS programs are administered through discretionary grants and interagency agreements. Federal program staff, panels of non-Federal academic specialists, bi-national commissions, U.S. embassies, and the J. William Fulbright Foreign Scholarship Board are involved in the merit-based selection of the Overseas Programs grantees and/or project participants.

The Overseas Programs specifically improve the supply of specialists in area, international, and language studies, and improve public access to knowledge of other countries and languages by providing to individuals and institutions of higher education measurable opportunities in the field of international education for:

- Research;
- Area, language, and international studies training;
- Professional growth including faculty development and teacher-training;
- Networking with counterparts in the U.S. and abroad;
- Curriculum and instructional materials development; and
- Overseas experience.

The Overseas Programs focus on the less commonly taught foreign languages and those areas of the world in which those languages are spoken. Current participants and graduates of the Overseas Programs are important sources of information and expertise on many issues that dominate the international environment.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004 .....	\$12,840
2005 .....	12,737
2006.....	12,610
2007 .....	12,610
2008 .....	13,372

### FY 2009 BUDGET REQUEST

The Administration requests \$13.4 million for the Overseas Programs, the same as the 2008 level. This request will continue to help meet the increasing need for international expertise by providing first-hand exposure to the cultures and languages of other countries. The Overseas Programs strengthen American international expertise in world areas and foreign languages that can be tapped into directly as needed for economic, foreign affairs, and defense purposes. More than ever, our country must be aware of other countries and their cultures. The events surrounding the September 2001 terrorist attacks on the United States and the war on terrorism underscore this point. To address this urgent need, in the appropriations language for fiscal years 2002 through 2008, Congress expanded the Overseas Programs by targeting certain world areas and permitting use of funds in fields outside of teaching, including government,

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

professional fields, and international development. The Administration proposes the same policy for fiscal year 2009.

The IEFLS Overseas Programs have an impact that outweighs the relatively small Federal investment in them. First, the programs provide "seed money" that is matched by institutions, associations, and private sector firms. Evidence shows that the Federal funding provided by the IEFLS programs leverages a large amount of non-Federal funding, especially for Group Projects Abroad and Special Bilateral Projects. Thus, the Administration is able to make an important impact on the field of international education for a proportionally small investment of taxpayer dollars. Secondly, because some of these programs focus on training teachers, they create a significant educational "ripple effect." Each teacher or faculty member trained under an IEFLS Overseas Program takes the experience back to the classroom, particularly K-12 teachers who participate in the Group Projects Abroad and Special Bilateral Projects programs.

In the fiscal year 2008 competitions, the Department plans to use an absolute priority to limit awards to projects that focus on one or more of the following areas: Africa, East Asia, Southeast Asia and Pacific Islands, South Asia, the Near East, East Central Europe and Eurasia, and the Western Hemisphere (excluding the United States and its territories). In addition, the following competitive preference priorities are planned:

- Group Projects Abroad Program

Competitive preference priorities: (1) applications that propose short-term projects abroad and advanced overseas intensive language programs in the countries in which the following critical need languages are spoken: Arabic, Chinese, Japanese, Korean, Russian, as well as the Indic, Iranian, and Turkic language families; and (2) short-term seminars that develop and improve foreign language and area studies at elementary and secondary schools.

- Doctoral Dissertation Research Abroad Program and Faculty Research Abroad Program

Competitive preference priority: research projects that utilize one or more of the following critical need languages: Arabic, Chinese, Japanese, Korean, Russian, as well as Indic, Iranian, and Turkic language families.

Similar priorities are expected for the fiscal year 2009 competition.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Group Projects Abroad:</b>			
Number of new projects	28	47	22
Average new project	\$72	\$100	\$100
Total new project funding	\$2,021	\$4,722	\$2,197

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Group Projects Abroad (cont'd):</b>			
Number of NCC projects	18	0	21
Average NCC project	\$104	0	\$101
Total NCC project funding	\$1,867	0	\$2,130
Total project funding	\$3,888	\$4,722	\$4,327
Total number of projects	46	47	43
Total number of participants	736	787	721
<b>Faculty Research Abroad:</b>			
Number of new fellows	20	20	20
Average new fellowship	\$70	\$70	\$70
Number of new awards	20	20	20
Average new award	\$70	\$70	\$70
Total new award funding	\$1,395	\$1,395	\$1,395
<b>Doctoral Dissertation Research Abroad:</b>			
Number of new fellows	118	125	125
Average new fellowship	\$38	\$38	\$38
Number of new awards	50	52	52
Average new award	\$89	\$91	\$91
Total new award funding	\$4,445	\$4,721	\$4,721
<b>Special Bilateral Projects:</b>			
Number of new projects	9	7	9
Average new project	\$269	\$288	\$269
Total new project funding	\$2,420	\$2,018	\$2,420
Total number of participants	144	112	144
Department of State administrative costs	\$250	\$250	\$250
Program evaluation, national outreach, and information dissemination	\$101	\$133	\$126
Peer review of new award applications	\$111	\$133	\$133
Total Overseas funding	\$12,610	\$13,372	\$13,372
Total Overseas participants	1,018	1,044	1,010

## HIGHER EDUCATION

### International education and foreign language studies: Overseas programs

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#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

The Department established new measures for the Fulbright-Hays Faculty Research Abroad, Doctoral Dissertation Research Abroad, and Group Projects Abroad programs that focus on improving the average language competency score of program recipients in any of the three components of the proficiency self-assessment (listening/speaking, reading, and writing). Baseline data for these measures will be available March 2008 and will be derived from the International Resource Information System (IRIS), a web-based performance reporting system for the IEFLS programs. All grantees will be expected to provide documentation of the improved language competency of fellows through IRIS for the purposes of assessing individual projects and the program overall.

##### **Efficiency Measures**

The efficiency measure for these programs is the cost of a successful outcome, where success is defined as program recipients who increase their language competency by at least one level in any of the three components of the language competency assessment at the end of their period of instruction. The data used to calculate the efficiency measure will come from IRIS. The measure is calculated by dividing the annual funding for the program by the number of program recipients who increase their language competency appropriately. Baseline data will be used to establish targets and will be available in 2008.

##### **Other Performance Information**

- A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on academic and employment outcomes as of 2006 of graduate students who received financial support through the Department's graduate fellowship programs between 1997 and 1999, including the Doctoral Dissertation Research Abroad (DDRA) program. The final results of the study will confirm the validity of performance report data on employment outcomes and improvement in language competency. While the final report will not be ready for publication until early in 2008, some preliminary descriptive data are available. Focusing on key goals of the DDRA program—developing expertise in modern foreign languages and countries less frequently studied in the U.S. by supporting graduate students' research abroad, degree completion, and teaching careers in the U.S.—these data indicate substantial goal achievement. Preliminary data from the study reveal the following key findings and other program outcomes:
  - DDRA fellows studied a wide variety of languages: only 20 percent of fellows studied European languages and more students studied South Asia and East Asian languages than languages from any other geographic region. Nearly two-thirds studied a critical foreign language as defined by the Department of Education (for the National Science and Mathematics Access to Retain Talent Grants—National SMART Grants Program).
  - Over 90 percent of DDRA fellows completed their degrees, with only 1 percent dropping out of their programs and the remaining planning to complete their degrees. DDRA



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### International education and foreign language studies: Overseas programs

fellows took less time to complete their degrees than 1997 doctorate recipients (who completed the Survey of Earned Doctorates).

- Nearly all (89 percent) DDRA fellows worked in jobs related to the expertise they had gained through their fellowship-funded research, and all fellows in these jobs described them as part of a career they had pursued for an average of 4 years and were continuing to pursue.
- Most fellows (89 percent) reported that at least one of the jobs they had held since completing their fellowships included teaching as a major responsibility and nearly all of them had taught in areas related to their field of graduate study.
- Although fellows did not, for the most part, attribute their choices of a field to study in graduate school to receiving DDRA funding, they were more likely to report that receiving funding influenced their choices regarding occupations and careers. Given that most fellows taught and thought of their teaching as careers they were pursuing, it is significant that fellows believed receiving a DDRA fellowship influenced their occupation and career pursuits.
- DDRA fellows reported that their oral and written language skills improved over the course of their DDRA-supported study. At the time of the survey, DDRA fellows rated their abilities to speak and listen, write, and read the languages they studied with DDRA support both at the time they began DDRA-supported study and at the time they completed that study at a variety of levels. They rated their speaking and listening ability on a 5-level scale, ranging from no ability to functioning like a native speaker, and their reading and writing abilities on 6-level scales covering the same range. On average, DDRA fellows reported a level 3 ability (sufficient competency to satisfy limited social demands and most survival needs) with respect to each of these skills at the time they began each DDRA-supported language study, and reported level 4 ability (ability to participate in conversations, write with some precision, and read at normal speed) at the close of that study, for an average of a one-level gain in proficiency. This data compares favorably to data collected through IRIS on Title VI DDRA fellowship recipients.

It should be noted that the design of the study does not permit attribution of these positive outcomes to DDRA funding as DDRA fellows in this study received other grants and scholarships. In addition, the study does not offer data on outcomes for an appropriate comparison group due to limitations in the Department's data sources. Despite these reservations, the data indicate positive outcomes.

## HIGHER EDUCATION

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### International education and foreign language studies: Institute for International Public Policy

(Higher Education Act of 1965, Title VI, Part C)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$1,670	\$1,670	0

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

The Institute for International Public Policy (Institute) program is intended to increase the number of African-American and other minorities in international service, including private international voluntary organizations and the foreign service of the United States. Consortia consisting of one or more Historically Black Colleges and Universities (HBCUs), Hispanic-serving Institutions (HSIs), Tribally Controlled Colleges and Universities (TCCUs), minority-serving institutions, and institutions with programs to train foreign service professionals are eligible to apply for a grant of up to 5 years duration to establish an Institute for International Public Policy. An institutional match equal to 50 percent of the Federal grant is required.

The Institute also awards subgrants, on a competitive basis, to HBCUs, HSIs, TCCUs, and other institutions serving minority students to support their international service programs.

The Institute supports a variety of activities, including:

- Sophomore and Junior Year Summer Policy Institutes that provide academic preparation for minority students;
- A Study Abroad program for students entering their third year of study at institutions of higher education serving significant numbers of minority students. The institution enters into an agreement with the Institute whereby the institution agrees to pay one-third of the cost of each student it nominates for participation in the Study Abroad program;
- A Senior Year Language Institute for students that consists of an intensive summer language course of study;
- A program leading to a master's degree in international relations. The Institute may also offer fellowships at the same level of support as those offered by the National Science Foundation. Fellows must agree to enter into international service upon graduation; and

## HIGHER EDUCATION

### International education and foreign language studies: Institute for International Public Policy

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- Agreements with HBCUs, other minority-serving institutions, and institutions with programs in training foreign service professionals, to offer academic year, summer, and postbaccalaureate internships in government agencies or other international organizations.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$1,629
2005.....	1,616
2006.....	1,600
2007.....	1,600
2008.....	1,670

### FY 2009 BUDGET REQUEST

The Administration requests \$1.7 million for the Institute for International Public Policy. The funds requested would support the sequence of pipeline activities provided for in the authorizing statute for participating students. The requested level also would enable the Institute to continue to subgrant to HBCUs, HSIs, TCCUs, and other institutions serving minority students.

Funding for the Institute addresses the need to increase the number of minorities in foreign policy positions in the U.S. Government. The Institute assists members of underrepresented minority groups to enter the international and foreign service pipeline—resulting in a Federal Government that is more truly representative of its people. Funding for the Institute, which in turn, competitively awards grants to HBCUs, HSIs, TCCUs, and other institutions serving minority students, also supports a long-standing Federal commitment to these institutions.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new awards	0	0	1
Number of NCC awards	1	1	0
Peer review of new award applications	0	0	\$2
Total award funding	\$1,600	\$1,670	\$1,670
Total number of students	100	100	100
Average cost per student (whole \$)	\$16,000	\$16,700	\$16,700

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### International education and foreign language studies: Institute for International Public Policy

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#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

The Department developed two new measures for the program—the percentage of Institute for International Public Policy graduates employed in government or international service and the percentage of Institute for International Public Policy program participants who complete a master's degree within 6 years of enrolling in the program. Data for 2006 will be available in March 2009. Once the Department receives these baseline data, targets will be established to maintain or improve the level of performance for these measures. Data for these measures will be derived from the International Resource Information System (IRIS) performance reporting system.

##### **Efficiency Measures**

The efficiency measure for this program is the cost of a successful outcome, where success is defined as program graduates employed in government or international service. The data used to calculate the efficiency measure will be derived from the IRIS. The measure is calculated by dividing the annual appropriation for the program by the number of program graduates who become employed in government or international service within a year of graduation as reported annually by the grantee. Targets for this measure are under development. Data for 2006 will be available in March 2009.

## HIGHER EDUCATION

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### Fund for the Improvement of Postsecondary Education

(Higher Education Act of 1965, Title VII, Part B)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$120,333	\$37,433	-\$82,900

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

The Fund for the Improvement of Postsecondary Education (FIPSE) supports exemplary, locally developed projects that are models for innovative reform and improvement in postsecondary education. Under FIPSE, the Department has flexibility to establish specialized programs to support projects in areas of national need. Therefore, each year, in consultation with the FIPSE Board, the Department determines the competitions and funding priorities that will be announced and sets procedures for awarding grants. Discretionary grants and contracts, typically 3 years in duration, are awarded to institutions of higher education and other public and private nonprofit institutions and agencies.

FIPSE currently supports the following discretionary grant programs:

Comprehensive Program—FIPSE awards the majority of its grants under this program, providing funds for projects to foster a broad range of improvements in postsecondary education. Projects are typically action-oriented, focusing on improvements in practice rather than support for basic research. Each year, the program announces invitational priorities for those areas of reform and improvement that the Administration determines to be most critical. These priority areas are highlighted in workshops and information materials.

International Consortia Programs—These programs include the U.S./European Community (Atlantis) Program, the North American Mobility Program, the U.S./Brazil Program, and the new US/Russia program. Each program provides funds to support the formation of educational consortia comprised of institutions from different countries to facilitate the exchange of students and faculty and to develop integrated curricula.

## HIGHER EDUCATION

### Fund for the improvement of postsecondary education

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$156,905 <sup>1</sup>
2005.....	162,108 <sup>2</sup>
2006.....	21,989
2007.....	21,989
2008.....	120,333 <sup>3</sup>

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<sup>1</sup> Includes \$124,900 thousand for Congressionally directed awards.

<sup>2</sup> Includes \$144,700 thousand for Congressionally directed awards.

<sup>3</sup> Includes \$98,900 thousand for Congressionally directed awards.

### FY 2009 BUDGET REQUEST

The Administration requests \$37.4 million for the Fund for the Improvement of Postsecondary Education (FIPSE) for fiscal year 2009, a decrease of \$82.9 million overall but an increase of \$16 million for competitive grants. This request is based largely on FIPSE's demonstrated success and the recommendations of the Secretary's Commission on the Future of Higher Education. Performance data suggest that the program is achieving its goals and projects are highly successful at being replicated—i.e., adopted or adapted by others—and institutionalized for continuation beyond grant funding. These are general indicators of the overall value and effectiveness of the FIPSE program. The reduction reflects the elimination of funding for Congressionally earmarked projects.

In its 2006 recommendations, the Secretary's Commission the Future of Higher Education stated, "The Fund for the Improvement of Postsecondary Education (FIPSE) should be revitalized and its funding increased. Its original mission of promoting improvement and innovation in higher education needs to be reenergized to sustain and enhance innovation in postsecondary education." The Comprehensive Program is FIPSE's primary mechanism for supporting innovative projects to reform and improve higher education. The majority of requested funds, \$23.4 million, would be allocated for the Comprehensive Program, including \$20.1 million for 81 new grants. These competitions typically generate a large number and range of proposed projects, many of which target improvements and reforms in areas of higher education that the Department deems to be of highest priority.

The fiscal year 2009 request would restore funding for the Comprehensive program to close to its 2001 funding level, while accommodating new initiatives for improving key elements of postsecondary education. An important initiative would provide incentives for consortia of States to work together to develop new mechanisms to facilitate transfer of credits from one institution of higher education to another. Whereas work has been done to address the issue of transfers within States, much work remains regarding credit transfers between States. This initiative will encourage innovative strategies to tackle this issue, including approaches such as common course numbering systems or articulation databases. The Administration requests \$10 million for this proposal. Another new priority would focus on increasing college access through partnerships between high schools and community colleges. This initiative would

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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support competitive awards to provide incentives to States and partnerships to promote “dual-enrollment” and articulation partnerships. Such partnerships facilitate smooth transitions between high school, community college, and 4-year colleges by allowing high school students to take college-level courses through community colleges and receive both high school and postsecondary credit. Another priority under consideration would provide support for innovative approaches to increase the involvement of community colleges in teacher preparation, continuing education, and professional development.

The fiscal year 2009 budget request also would continue support for FIPSE’s international consortia programs, increasing the number of partnerships between U.S. institutions of higher education and institutions in Canada, Mexico, the European Community, Russia, and Brazil. Combined, a total of \$13.3 million would support 163 academic consortia. These programs are designed to foster multilateral and bilateral partnerships so that students have increased opportunities to enhance their education by studying abroad. Members of consortia coordinate curricular areas and allow for the transfer of credits to facilitate on-time degree completion. Beginning in fiscal year 2009, FIPSE will transition some competitions for the international consortia programs to a biannual cycle, beginning with the North American Mobility Program.

The requested funding would also allow for the expansion of fiscal year 2008 activities. The Department is considering the following priorities for the fiscal year 2008 competition:

- To address recommendations of the Secretary’s Academic Competitiveness Council, the Department would hold a “second tier” competition in which previously-funded FIPSE projects that have empirically demonstrated favorable outcomes can compete for additional funding to test particular interventions or promising practices on a larger scale and using more rigorous methodology (at least at the quasi-experimental level). In particular, proposals would be solicited for projects that have already demonstrated promising results in meeting one or more of the following goals:
  - Encourage higher levels of access, persistence, and completion of graduation requirements for higher education,
  - Align curriculum on a State or multi-state level between high schools and colleges, and between 2-year and 4-year postsecondary programs, to ensure continuing academic progress and transferability of credits,
  - Improve the mathematics and science proficiency of postsecondary students including pre-service math and science teachers, and
  - Enable postsecondary students, including pre-service teachers, to achieve proficiency or advanced proficiency or postsecondary institutions to develop programs in one or more of the less commonly taught languages: Arabic, Chinese, Korean, Japanese, Russian, and languages in the Indic, Iranian, and Turkic language families.
- The Department would solicit applications for projects that would seed the development of, or allow for expansion or modification of, professional science or engineering masters

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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degree program. Projects are expected to include industry partners to ensure that the education and training aligns with the expectations and needs of business and industry.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Comprehensive Program:</b>			
Number of new awards	17	6	81
Average new award	\$380	\$391	\$249
Total new award funding	\$6,459 <sup>1</sup>	\$2,347	\$20,144
Number of NCC awards	48	62	16
Average NCC award	\$192	\$181	\$171
Total NCC award funding	\$9,201	\$11,249	\$3,300
Total award funding	\$15,660	\$13,596	\$23,444
Total number of awards	65	68	97
<b>International Consortia Programs:</b>			
<b>EU/U.S. Atlantis Program:</b>			
Number of new awards	14	14	45
Average new award	\$89	\$100	\$100
Total new award funding	\$1,230	\$1,400	\$4,486
Number of NCC awards	7	15	23
Average NCC award	\$131	\$119	\$117
Total NCC award funding	\$918	\$1,781	\$2,681
Supplements	2	0	0
Total supplement funding	60	0	0
Total award funding	\$2,208	\$3,181	\$7,167
Total number of awards	23	29	68
<b>North American Mobility Program:</b>			
Number of new awards	9	10	10
Average new award	\$25	\$30	\$30
Total new award funding	\$224	\$300	\$300
Number of NCC awards	20	19	29
Average NCC award	\$57	\$56	\$58
Total NCC award funding	\$1,145	\$1,062	\$1,676

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<sup>1</sup> This includes \$2,450 thousand for a special competition for the Postsecondary Student Achievement and Institutional Performance Pilot Program, through which one award was made in fiscal year 2007.



## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>North American Mobility Program (cont'd):</b>			
Supplements	2	0	0
Total supplement funding	\$95	0	0
Total award funding	\$1,464	\$1,362	\$1,976
Total number of awards	31	29	39
<b>U.S./Brazilian Program:</b>			
Number of new awards	12	12	12
Average new award	\$25	\$29	\$29
Total new award funding	\$300	\$350	\$350
Number of NCC awards	21	23	35
Average NCC award	\$60	\$57	\$56
Total NCC award funding	\$1,260	\$1,314	\$1,976
Supplements	1	0	0
Total supplement funding	60	0	0
Total award funding	\$1,620	\$1,664	\$2,326
Total number of awards	34	35	47
<b>U.S./Russian Program:</b>			
Number of new awards	3	3	6
Average new award	\$191	\$200	\$200
Total new award funding	\$575	\$600	\$1,200
Number of NCC awards	0	3	3
Average NCC award	0	\$200	\$200
Total NCC award funding	0	\$600	\$600
Supplements	1	0	0
Total supplement funding	70	0	0
Total award funding	\$645	\$1,200	\$1,800
Total number of awards	4	6	9
<b>Congressional Earmarks:</b>			
Number of awards	0	333	0
Average award	0	\$297	0
Total award funding	0	\$98,909	0

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Contracts	\$261	\$200	\$400
Peer review of new award applications	\$131	\$221	\$320
Total FIPSE funding	\$21,989	\$120,333	\$37,433
Total number of awards	157	500	260

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: To improve postsecondary education by making grants to institutions in support of reform and innovation.**

**Objective:** *Promote reforms that improve the quality of teaching and learning at postsecondary institutions.*

<b>Measure:</b> The percentage of FIPSE grantees reporting project dissemination to others.		
Year	Target	Actual
2004	95	88
2005	95	96
2006	90	98
2007	90	
2008	91	
2009	91	

**Assessment of progress:** Practical limitations prevent FIPSE from measuring project replication on an annual basis. Therefore, data on project dissemination efforts are used as a proxy to track progress toward achieving the larger program goal. In 2005, the Department implemented a new on-line data collection instrument and revised scoring system, which allow for a more accurate calculation of data for this measure. Projects reported improved performance in 2005, although this may be a result of the new system more accurately capturing the data, rather than an underlying change in the performance. The 2006 data

## HIGHER EDUCATION

### Fund for the Improvement of Postsecondary Education

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demonstrate that the program is successful in achieving its performance goal. It is expected that the 2007 data will be available in spring 2008.

<b>Measure:</b> The percentage of projects reporting institutionalization on their home campuses.		
<b>Year</b>	<b>Target</b>	<b>Actual</b>
2004	95	90
2005	95	94
2006	91	93
2007	92	
2008	92	
2009	93	

**Assessment of progress:** FIPSE places a strong emphasis on institutional contributions to projects and the development of long-term continuation plans. The result is an exceptionally high rate of institutionalization. The FIPSE study determined that 93 percent of projects continued in some capacity after Federal funding expired, while 81 percent of projects continued with most or all of their key aspects. In 2005, the Department implemented a new on-line data collection instrument and revised scoring system, which allow for a more accurate calculation of data for this measure. The improvement shown in 2005 may be a result of the new system more accurately capturing the data, rather than an underlying change in the performance. The performance report data used to track institutionalization on an annual basis indicate a slight drop in performance in 2006, although the program's actual performance is still above the performance target. The 2006 data demonstrate that the program is successful in achieving its performance goal. It is expected that the 2007 data will be available in spring 2008.

#### Other Performance Information

An independent review of FIPSE conducted by the American Institute for Research, completed in 2004, found that it is successfully achieving its goals. The study examined the performance of 60 randomly selected projects funded under the Comprehensive Program from 1996 to 1998. It also convened subject-matter experts to assess project effectiveness in a wider context. Overall, the study confirmed that FIPSE funds a wide range of innovative and reform projects that tend to continue after Federal funding expires, share their work with others in the higher education community, and influence postsecondary education.

## HIGHER EDUCATION

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### Demonstration projects to ensure quality higher education for students with disabilities (Higher Education Act of 1965, Title VII, Part D)

FY 2009 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$6,775	0	-\$6,775

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is not sought.

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### PROGRAM DESCRIPTION

The Demonstration Projects to Ensure Quality Higher Education for Students with Disabilities program supports model projects that enhance the quality of higher education for students with disabilities. This program provides discretionary grants of up to 3 years in duration to institutions of higher education to provide technical assistance and professional development for faculty and administrators.

Projects receiving funds must carry out one or more of the following activities: developing innovative, effective, and efficient teaching methods and strategies; synthesizing research and information; and conducting professional development and training sessions for faculty and administrators from other institutions of higher education. Projects funded under the program must be distributed equitably across geographic regions and ensure that the activities supported are developed for a range of types and sizes of institutions of higher education.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$6,913
2005.....	6,944
2006.....	6,875
2007.....	6,875
2008.....	6,775

### FY 2009 BUDGET REQUEST

The Administration requests no funding for Demonstration Projects to Ensure Quality Higher Education for Students with Disabilities for fiscal year 2009. The Administration believes making awards under this program is no longer justified because the program was designed to be temporary and the Fund for the Improvement of Postsecondary Education (FIPSE) awards grants for similar activities. In addition, activities allowable under this program can be carried out under several other Department programs, including the National Institute on Disability and Rehabilitation Research and the Special Education Personnel Preparation program.

## HIGHER EDUCATION

### Demonstration projects to ensure quality higher education for students with disabilities

There is no indication that continuing to fund the program would be an effective use of limited budgetary resources. The primary goal of the program is to support model demonstration projects in the areas of professional development and technical assistance for faculty and administrators who educate college students with disabilities. After 8 years and more than \$50 million, the Department believes a sufficient number of models have been funded for dissemination and replication in postsecondary institutions around the country. The program was not designed to provide long-term funding for professional development and technical assistance activities for faculty and administrators, yet many of the new grant recipients in the most recent competitions were previously funded under this program.

Future grants to support innovative approaches to faculty development should be funded through FIPSE's Comprehensive Program, which has a proven history of supporting postsecondary education projects that benefit students with disabilities. Since the year 2000, the Comprehensive Program has funded 18 grants focused on improving the education of students with disabilities. These innovative initiatives have covered issues of promoting preparedness for and access to postsecondary education, improving teacher training in order to improve teachers' ability to provide a quality postsecondary education to students with disabilities, and the use of instructional technologies to improve student achievement among students with disabilities. Continued investment in the Demonstration Projects to Ensure Quality Higher Education for Students with Disabilities program would take funds away from higher priority programs, like FIPSE, and those with demonstrated results.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new awards	0	23	0
Average new award	0	\$292	0
Total new award funding	0	\$6,708	0
Number of NCC awards	23	0	0
Average NCC award	\$299	0	0
Total NCC award funding	\$6,875	0	0
Peer review of new award applications	0	\$67	0
Total program funding	\$6,875	\$6,775	0

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on

## HIGHER EDUCATION

### Demonstration projects to ensure quality higher education for students with disabilities

the cumulative effect of the resources provided in previous years, and the resources and efforts invested by those served by this program.

**Goal: To improve the quality of higher education for students with disabilities.**

**Objective:** *Ensure that faculty and administrators in institutions of higher education increase their capacity to provide a high-quality education to students with disabilities.*

<b>Measure:</b> The percentage of faculty trained through project activities who incorporate elements of their training into their classroom teaching.		
Year	Targets	Actual
2006		87.3
2007	88.0	
2008	88.5	

**Assessment of progress:** The program's goal is to improve the quality of postsecondary education for students with disabilities. Progress toward the achievement of this goal is measured through newly developed performance measures. This indicator measures the percentage of faculty trained in project activities that incorporate elements of the training into their classroom teaching. The 2006 data will be used as a baseline against which progress can be tracked. These data are collected by grant recipients and reported in the annual performance reports. The Department is undertaking an outcome evaluation of this program in fiscal year 2008, the results of which will be used to confirm the validity of the annual performance report data. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

<b>Measure:</b> The difference between the rate at which students with documented disabilities complete courses by faculty trained through project activities and the rate at which other students complete the same courses.		
Year	Targets	Actual
2006		5.3
2007	5.1	
2008	5.0	

**Assessment of progress:** The program's goal is to improve the quality of postsecondary education for students with disabilities. Progress toward the achievement of this goal is measured through newly developed performance measures. Research shows that overall students with disabilities are less likely to enroll in and complete postsecondary degrees than those without disabilities. The National Education Longitudinal Study found that approximately 63 percent of students with disabilities had enrolled in some form of postsecondary education two years after completing high school, compared with about 72 percent of students without disabilities. Furthermore, the Beginning Postsecondary Students Longitudinal Study found that among students enrolled in public 4-year institutions, 33 percent of students with disabilities completed bachelor's degrees, compared with 48 percent of students without disabilities. Within this context, this indicator measures the difference between the rate at which students with documented disabilities complete courses taught by faculty trained in project activities and the rate at which students without documented disabilities complete those same courses. These

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### **Demonstration projects to ensure quality higher education for students with disabilities**

data are collected by grant recipients and reported in the annual performance reports. The 2006 data will be used as a baseline against which progress can be tracked. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

Without being able to compare the completion rate of similar students with disabilities in classes taught by faculty trained in project activities, to the completion rate of similar students in classes taught by faculty who had not been trained in project activities, the data from the measure is difficult to interpret. In fiscal year 2008, the Department will conduct an outcome evaluation of this program, which will attempt to address this issue and the results of which will be used to confirm the validity of the annual performance report data.

## HIGHER EDUCATION

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### **Tribally controlled postsecondary career and technical institutions**

(Carl D. Perkins Career and Technical Education Act of 2006, Section 117)

FY 2009 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$7,546	0	-\$7,546

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### PROGRAM DESCRIPTION

This program makes grants to tribally controlled postsecondary career and technical institutions to provide career and technical education to Indian students.

In order to be eligible for a grant, a tribally controlled postsecondary career and technical institution must:

- Be formally controlled (or have been formally sanctioned or chartered) by a governing body of an Indian tribe or tribes;
- Offer a technical degree- or certificate- granting program;
- Demonstrate that it adheres to a philosophy or plan of operation that fosters individual Indian economic opportunity and self-sufficiency by providing, among other things, programs that relate to stated tribal goals of developing individual entrepreneurship and self-sustaining economic infrastructures on reservations;
- Have been operational for at least 3 years;
- Be accredited, or be a candidate for accreditation, by a nationally recognized accrediting authority for postsecondary career and technical education; and
- Enroll at least 100 full-time equivalent students, the majority of whom are Indians.
- Receive no funds under the Tribally Controlled College or University Assistance Act of 1978 or the Navajo Community College Act.

Funds may be used by a grantee to train teachers; purchase equipment; and provide instructional services, child-care and other family support services, and student stipends; and for institutional support.



## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

Funding levels for the past 5 fiscal years were as follows:

	(\$000s)
2004.....	\$7,185
2005.....	7,440
2006.....	7,366
2007.....	7,366
2008.....	7,546

### FY 2009 BUDGET REQUEST

For fiscal year 2009, the Administration requests no funding for the Tribally Controlled Postsecondary Career and Technical Institutions (TCPCTI) program. The request is consistent with the Administration's policy of not funding earmarks to specific entities. Because the statute limits eligibility to institutions that receive no funds under either the Tribally Controlled College or University Assistance Act of 1978 or the Navajo Community College Act, only two institutions, Navajo Technical College (formerly Crownpoint Institute of Technology) and United Tribes Technical College, have been able to demonstrate they are eligible to receive support under this program. The eligibility criteria, thus, effectively earmark funds, year after year, to only two entities. Furthermore, the two recipients are eligible for competitive grants under other Federal programs, including the Strengthening Tribally Controlled Colleges and Universities program (Section 316 of the Higher Education Act), for which the Administration is requesting \$5 million in 2009, and the Additional Funds for Strengthening Tribally Controlled Colleges and Universities program (HEA Title IV-J), which, under the College Cost Reduction and Access Act, will provide additional \$15 million in mandatory funding. In fact, both institutions have been receiving grant funds under the section 316 program for several years. Thus, a separate, earmarked program for the two institutions is redundant and unnecessary.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Range of awards	\$2,879-4,483	\$2,879-4,483	0
Number of awards	2	2	0

### PROGRAM PERFORMANCE

#### **Performance Measures**

This section presents selected program information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and the resources and efforts invested by those served by this program.

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### Tribally controlled postsecondary career and technical institutions

In 2007, the Department adopted new performance measures for the program in order to align program objectives with the purpose of the reauthorized Perkins Act. The new measures address student mastery of academic knowledge as measured by the percentage of students who receive degrees, certificates or credentials; student attainment of State-established or program-established industry-validated career and technical skills standards; student retention and completion of postsecondary career and technical education programs; and student placement in jobs, military service, or higher-level continuing education programs. Another measure addresses the availability of programs offering skill competencies, related assessments, and postsecondary industry-recognized skills certificates. The Department expects to collect baseline data for these indicators in 2008.

The current indicator addresses student attainment of degrees or certificates.

**Goal: To increase access to and improve career education that will strengthen workforce preparation, employment opportunities, and lifelong learning in the Indian community.**

**Objective:** *Ensure that career and technical education (CTE) students served in tribally controlled postsecondary career and technical institutions make successful transitions to work or continuing education.*

<b>Measure:</b> The percentage of career and technical education students in the Tribally Controlled Postsecondary Career and Technical Institutions Programs who earn an associate's degree or certificate.				
Year	Target	Average for both recipients	Navajo Technical College	United Tribes Technical College
2004	49	44	73	22
2005	52	49	75	28
2006	57	42	68	21
2007	42			

**Assessment of progress:** For fiscal years 2004 through 2006 the program did not reach its targets. Data for 2007 will be available February 2008. While there was a decrease in the overall percentage of students who earned an associate's degree or certificate between 2005 and 2006, both the averaged data for the two recipients and the individual recipient data show no clear trend in performance over time. The individual recipient data do show that Navajo Technical College consistently awards associate's degrees and certificates to a higher percentage of its students than does United Tribes Technical College. The Department may revise targets based on the requirements of the 2006 Perkins Act. No targets are provided for 2008 because 2007 was the last year this measure applied to this program.

Note that the percentages above are based on degree completers relative to the number of all students in their *final semester*, rather than on a cohort of students entering a program together. In addition, the two grantees do not use the same methodology to calculate this measure. Results for this measure may vary from year to year because of the small student population served by this program (about 1,142 total full-time equivalent students in one semester during school year 2006-07). Data are from grantee performance reports. The Department does not validate these data, but, given the wide variation between the data reported by the two

## HIGHER EDUCATION

### Tribally controlled postsecondary career and technical institutions

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recipients, has begun looking closely at the grantees' procedures for collecting and reporting data.

#### **Efficiency Measures**

The Department adopted cost per participant as the efficiency measure for this program. Although the Department can also calculate the cost per successful outcome, the recipients do not use the same methodology to determine degree completion, making these data unreliable. The Department is developing guidance to help grantees improve the comparability of the data provided in their performance reports and expects to be able to calculate the cost per successful outcome more reliably in the future.

The following table shows total costs per participant for fiscal years 2003 through 2006. The 2006 Perkins reauthorization made changes to the procedures for calculating Indian student counts. The old process required the recipients to count the number of full-time Indian students registered as of October 1<sup>st</sup> plus the full-time equivalents for part-time students, students enrolled during the preceding summer term, and continuing education students. The new process requires recipients to count the number of credit hours for which Indian students were enrolled during the summer, fall, and spring terms and the number of credit hours for which continuing education Indian students were enrolled, then divide the total number of credit hours by 12 to arrive at the number of full-time equivalent Indian students. In other words, the new process counts both the number of students enrolled in the fall and spring terms, instead of just the number of students enrolled in the fall term.

In order to maintain comparability across years, the Department will calculate the cost per participant starting with fiscal year 2006 data by dividing the reported number of full-time equivalent Indian students by two. Data for fiscal year 2007 will be available by the end of calendar year 2008.

	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>
<b>Cost per participant</b>	\$8,705	\$8,297	\$6,782	\$6,453

Note that validity of the student count data provided by the recipients is unknown. These institutions sometimes submit multiple sets of data counts within the same year.

#### **Followup on PART Findings and Recommendations**

This program was reviewed using the Program Assessment Rating Tool (PART) in 2002 and received a rating of Results Not Demonstrated. The PART improvement plan recommendations are presented below, followed by a description of the Department's actions to address them.

- *Pursue strategies to improve the quality and consistency of grantee performance data.* The Department is developing reporting guidance to assist grantees in collecting consistent and reliable data. The Department is also working with a contractor to provide technical assistance and has invited grantees to participate in its Perkins Data Quality Institutes. In addition, site visits are planned for the spring of 2008.

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### Tribally controlled postsecondary career and technical institutions

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- *Adopt the Department's common measures for minority-serving postsecondary institutions and collecting baseline data for these common measures.* The Department adopted new measures for the program in 2007 that are consistent with the measures applied to other grantees under the 2006 Perkins Act. Two of those (persistence and graduation) are also consistent with the common measures for the Department's minority-serving postsecondary institutions. The third common measure, enrollment, is not appropriate for the small tribal institutions supported by this program. Reporting guidance is in development and baseline data will be collected in December 2008.
- *Set short and long-term targets for the common measures for minority-serving postsecondary institutions.* The Department plans to collect baseline data on the common measures in December 2008, and will set targets in fiscal year 2009.
- *Develop a new measure to gauge cost-effectiveness based on successful outcomes.* The Department adopted new performance measures addressing persistence and graduation, which will allow the Department to calculate cost per successful outcome. Reporting guidance is in development and baseline data will be collected December 2008.

## HIGHER EDUCATION

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### Federal TRIO programs

(Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 1)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

	<u>2008</u>	<u>2009</u>	<u>Change</u>
Discretionary	\$828,178	\$828,178	0
Mandatory	<u>57,000</u> <sup>1</sup>	<u>57,000</u> <sup>2</sup>	<u>0</u>
Total	885,178	885,178	0

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<sup>1</sup> The authorization for discretionary funding for this program will expire on March 31, 2008; reauthorizing legislation is sought. The authorization for mandatory funding is \$57,000 thousand and will expire on September 30, 2011.

<sup>2</sup> Mandatory funds are made available by the College Cost Reduction and Access Act, P.L. 110-84 (September 27, 2007; 121 Stat. 784). These funds are not part of the Administration's fiscal year 2009 budget request.

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## PROGRAM DESCRIPTION

The Federal TRIO Programs consist primarily of five discretionary grant programs—Talent Search, Upward Bound, Student Support Services, Educational Opportunity Centers, and McNair Postbaccalaureate Achievement—that fund postsecondary education outreach and student support services designed to encourage individuals from disadvantaged backgrounds to enter and complete college and postgraduate education. Competitive grants are awarded for 4 years, except that applicants scoring in the highest 10 percent of scores of all applicants receive 5-year awards. Eligible applicants include institutions of higher education, public and private agencies, and, in exceptional circumstances, secondary schools. At least two-thirds of the program participants must be low-income, first-generation college students (or individuals with disabilities for the Student Support Services program).

Talent Search encourages disadvantaged youth who are between 11 and 27 years of age, and who have the potential for postsecondary education, to graduate from high school or return to school (for those who have dropped out) and to enroll in a postsecondary education program. Projects provide tutorial services, career exploration, mentoring, aptitude assessments, counseling, mentoring programs, and information and assistance on postsecondary admission and financial aid.

Upward Bound provides intensive academic instruction to high school students to generate the skills and motivation needed to pursue and complete a postsecondary education. Additional services include tutorial and counseling sessions, cultural enrichment activities, a 6-week on-campus residential summer component, and work-study positions that provide exposure to careers requiring a postsecondary degree. Upward Bound includes, besides the regular projects, Upward Bound Math/Science and Veterans projects. The *Upward Bound Math/Science* program establishes mathematics and science centers that encourage students

## HIGHER EDUCATION

### Federal TRIO programs

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to pursue postsecondary degrees in those fields specifically. The *Veterans Upward Bound* projects are designed to assist veterans in preparing for a program of postsecondary education.

The Educational Opportunity Centers provide counseling and information on college admissions to adults who are at least 19 years old and who are seeking a postsecondary education degree. Services include disseminating information on higher education opportunities in the community; academic advice, personal counseling, and career workshops; help in completing applications for college admissions, testing, and financial aid; tutoring; and mentoring.

The Student Support Services program offers a broad range of support services to postsecondary students to increase their retention and graduation rates and to increase their transfer rates from 2-year to 4-year institutions. Services include remediation, academic counseling and guidance, tutorial services, personal and career counseling, admission and financial aid counseling for graduate and professional studies, activities for students of limited English proficiency, and grant aid (not to exceed 20 percent of a project's funds). Projects providing grant aid also must provide a match equal to 33 percent of the total funds used for that purpose, unless they are eligible to receive funds under Title III, Part A or B, or Title V of the Higher Education Act.

The McNair Postbaccalaureate Achievement program prepares disadvantaged undergraduate students for doctoral study to help them succeed in obtaining doctoral degrees. Services include opportunities for research and other scholarly activities at the recipient institution or graduate center, summer internships, tutorial sessions, seminars, and assistance in obtaining financial aid and securing admission to graduate programs.

In addition, TRIO funding supports training for project staff members, dissemination of best practices, evaluation activities, and administrative expenses.

Funding for Staff Training supports professional development activities and opportunities to improve the competency of project directors and staff members. Training is offered on such topics as: legislative and regulatory requirements for operating funded projects; assisting students in receiving adequate financial aid; the design and operation of model programs; and the use of appropriate educational technology in the operations of funded projects.

Funding for Evaluation activities help to improve the effectiveness of TRIO programs and projects. These activities include identifying effective practices, documenting student preparation for college, documenting student success in college, and identifying the effectiveness of alternative and innovative methods within TRIO programs.

Administrative Expenses—Up to 0.5 percent of the funds appropriated for TRIO may be used by the Department to support administrative activities that include: obtaining additional qualified readers and additional staff to review applications; increasing the level of oversight monitoring; supporting impact studies, program assessments, and reviews; and providing technical assistance to potential applicants and grantees.

In 2007, Congress amended the TRIO legislation to provide \$57 million in mandatory funding to make 4-year awards to 186 unsuccessful Upward Bound applicants for the fiscal year 2007 competition who scored above an average peer review score of 70 out of 115 points. This

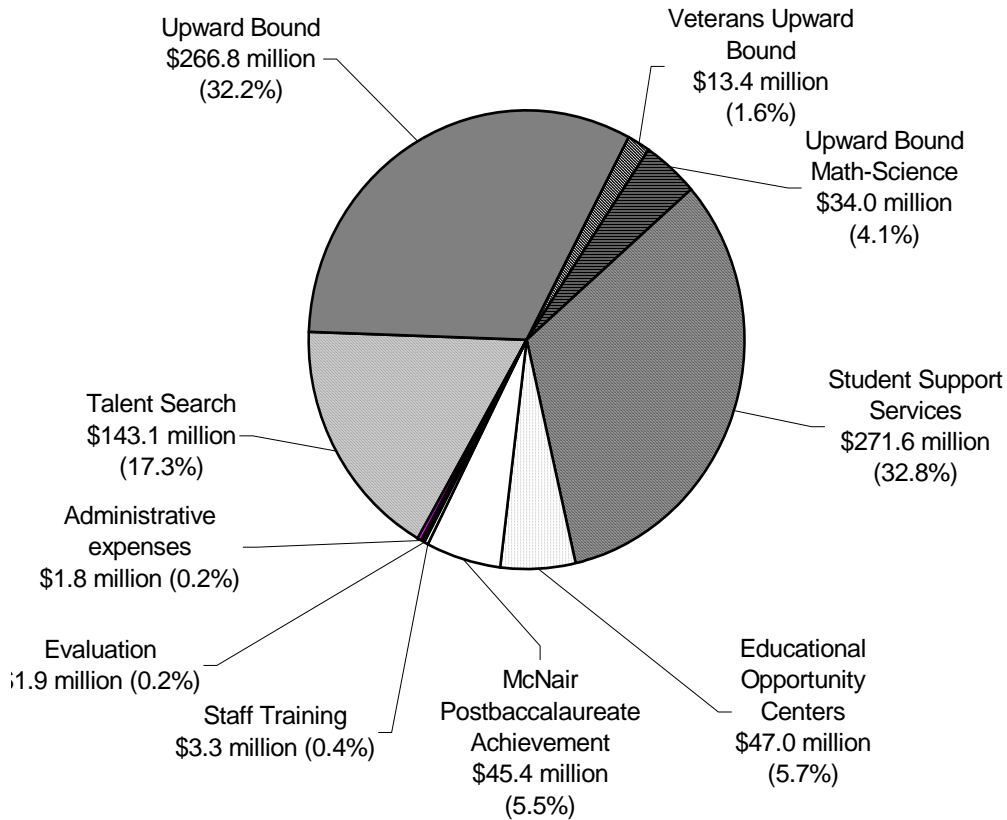
## HIGHER EDUCATION

### Federal TRIO programs

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funding is available in 2008 through 2011, and any funds not needed for grants may be used for technical assistance and administration costs for the Upward Bound program.

**Distribution of TRIO Funding, FY 2007**



Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$832,559
2005.....	836,543
2006.....	828,178
2007.....	828,178
2008.....	885,178 <sup>1</sup>

<sup>1</sup> Includes \$57,000 thousand in mandatory funds under the College Cost Reduction and Access Act.

## HIGHER EDUCATION

### Federal TRIO programs

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#### FY 2009 BUDGET REQUEST

The Administration is requesting \$828.2 million in discretionary funding for TRIO programs in 2009, level with the 2008 appropriation. Another \$57 million in mandatory funding is also available for TRIO in 2009 to cover the costs of awards to certain applicants who were initially unsuccessful in the 2007 Upward Bound competition. The TRIO programs are the Department's oldest college preparation and student support programs. Dating back to the 1960s, they have a long history of providing low-income students and students whose parents never completed college with support and preparation to enter and complete postsecondary education programs.

Five of the TRIO programs have received PART reviews, and, overall, results have been positive: Student Support Services, Talent Search, and McNair Postbaccalaureate Achievement received "Moderately Effective" ratings, and thus are among the Department's highest rated programs. The Upward Bound program received an "Ineffective" rating but has implemented changes that address program deficiencies. The Educational Opportunity Centers program received a "Results Not Demonstrated" because it lacked information on program performance, but has performance measures and a strategy for collecting data. The TRIO grants are re-competed on a regular schedule, with the competition for one of the programs, Student Support Services, scheduled for 2009. At the request level:

- *Talent Search* would receive \$142.9 million in 2009 to support approximately 471 projects serving more than 364,000 students. Talent Search received a "Moderately Effective" PART rating in 2005. The PART noted that an independent evaluation suggested that Talent Search has positive effects on students applying for financial aid and enrolling in college.
- *Upward Bound (UB)* would receive \$302.7 million in discretionary money to support approximately 941 grants serving more than 65,000 students. Included in these figures are:
  - Approximately \$258.4 million to support 781 *regular Upward Bound* projects. Upward Bound received an "Ineffective" PART rating when assessed in 2002, in part because the program evaluation showed that the program did not, overall, increase the proportion of participants who enrolled in college. However, the program was found to have a positive impact for higher-risk students, for whom evaluation findings revealed that UB increased 4-year college enrollment rates. In response to this finding, the Department established a priority for the 2007 UB competition that required projects to ensure that at least 30 percent of participants were higher-risk students.
  - Approximately \$31.1 million to support 115 *Upward Bound Math/Science (UBMS)* projects. The Upward Bound Math/Science program establishes mathematics and science centers that encourage students to pursue postsecondary degrees in those fields specifically. Improving mathematics and science education is a national priority, and preliminary results from the UBMS evaluation show that participation was associated with improved high school math and science grades, increased likelihood of taking chemistry and physics classes, increased likelihood of enrolling in more selective 4-year institutions, and increased chances of completing a 4-year degree in math or science.



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- Approximately \$13.1 million to support 45 Veteran's Upward Bound projects.

In addition, the 2009 mandatory appropriation of \$57 million for Upward Bound will provide support for certain projects that were not funded in the 2007 competition because they received scores below the cut-off point for new awards and will fund some Upward Bound technical assistance and administrative activities.

- *Educational Opportunity Centers* would receive \$47.1 million in 2009, level with 2008, which would support 125 projects serving approximately 196,000 students. The program received a "Results Not Demonstrated" PART rating in 2007 largely because it needs to make improvements in the data collected from grantees to assess program performance.
- *Student Support Services* would receive \$282.3 million in 2009, which would allow the Department to support approximately 949 projects serving nearly 200,000 students. Student Support Services received a "Moderately Effective" PART rating when it was reassessed in 2005, due to improvements in program management, the availability of performance data, and success in achieving short- and long-term performance targets. The competition for Student Support Services awards is held once every 4 years; the next round of new grants will be awarded in 2009.
- *McNair Postbaccalaureate Achievement* would receive \$43.6 million, the same amount as the 2008 level, to support 181 projects helping nearly 5,000 disadvantaged college students prepare for graduate education. The 2006 PART assessment of the McNair Postbaccalaureate Achievement program resulted in a rating of "Moderately Effective," and preliminary results from an on-going evaluation of the program suggest that McNair participants enroll in graduate school at comparatively higher rates than the national average for bachelor's degree recipients.
- Finally, the budget includes \$4.0 million for *Staff Training*, which would help provide 2,800 TRIO professionals with the skills necessary to run effective projects; \$1.5 million for *Evaluations*, including, possibly, an evaluation of the Educational Opportunity Centers or a TRIO pipeline study that examines how TRIO programs work together to support students as they progress from middle and high school through college; and \$4.1 million to maintain *Administrative support* for the TRIO programs, including support for running competitions, peer reviewer honoraria, project monitoring, and the costs of collecting and analyzing grantee performance data.

Pending legislation to reauthorize the TRIO programs makes a number of changes to current law, some of which are very problematic:

- The House bill (H. R. 4137) would give TRIO applicants the right to appeal to an administrative law judge (ALJ) any decision to reject an application or to not fund an application based on the results of peer review. External peer review is the basis on which the Department and other agencies of the Federal Government make discretionary awards every year. External reviewers, who are selected because of their knowledge of and experience with TRIO programs, are in a better position to make assessments of grant quality than ALJs, who have no such experience. There is no need to inject an ALJ into this process to rectify any administrative errors because the Department will remedy any such

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errors that it discovers. Furthermore, allowing for an ALJ appeals process could be difficult to administer because of the potentially large number of appeals. The uncertainty surrounding the outcome of a large number of appeals could affect the awards made to successful grantees.

- A House provision would require the Secretary to rescind the priority used in the last Upward Bound competition. Rescinding the priority would eliminate the requirement for projects to ensure that at least 30 percent of the students served by the program have a high need for academic services. In this regard, the House bill differs from the Senate bill, which would require that at least 30 percent of first-time participants were students who have a “high academic risk for failure.” Rescinding the priority also would end the current evaluation of the Upward Bound program, and both bills would prohibit the Department from requiring projects to recruit students to serve as a control group in an evaluation. This would jeopardize the Department's ability to conduct rigorous evaluations of the TRIO programs.
- Both the House and the Senate bills change the grant period from 4 to 5 years and eliminate the prior provision for top-scoring grants to receive 5-year awards, thereby ensuring that at some future point all grants in a particular TRIO program will be on the same performance cycle. This will simplify program administration. The bill also increases the minimum grant size to \$200,000, except for staff development grants. This change will have little practical effect because most grants now exceed that minimum.
- The House bill specifies the outcome criteria to be used to determine prior experience points. Unlike the Senate bill, the House bill provides that the Department, not the grantee, has the responsibility to determine whether the criteria are met. Having the Department determine whether criteria are met is the fairer process, because it is the best way to ensure that all grantees will be held to the same high standards.
- Both of the proposed bills require that program outcome data be disaggregated by low-income students, first generation college students, and individuals with disabilities in the schools and colleges served by the program. Given the small numbers of students served under some of the TRIO programs, disaggregation will not always be possible in order to preserve student privacy. The provision should not require disaggregation at the school and college level in such cases.
- Both bills include a requirement for the Department to submit annual reports to the authorizing committees that contain detailed information on TRIO programs. The Department already provides information on program effectiveness through its annual Performance and Accountability Report, semi-annual PART updates, and program website (<http://www.ed.gov/about/offices/list/ope/trio/index.html>). Additional reporting is unnecessary.

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#### PROGRAM OUTPUT MEASURES

	Funding (\$000s)			Number of Awards		
	<u>2007</u>	<u>2008</u>	<u>2009</u>	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Talent Search</b>						
New Awards	\$73,102	\$10,342	\$700	237	30	2
Continuation awards	<u>69,975</u>	<u>132,542</u>	<u>142,184</u>	<u>234</u>	<u>441</u>	<u>469</u>
<i>Total</i>	143,077	142,884	142,884	471	471	471
<b>Upward Bound</b>						
New Awards	179,416	65,033	12,528	560	186	30
Continuation awards	<u>87,424</u>	<u>194,357</u>	<u>245,916</u>	<u>245</u>	<u>597</u>	<u>751</u>
<i>Total</i>	266,840 <sup>1</sup>	259,390 <sup>1</sup>	258,444 <sup>1</sup>	805 <sup>1</sup>	783 <sup>1</sup>	781 <sup>1</sup>
<b>Veterans Upward Bound</b>						
New Awards	8,676	2,772	1,654	31	9	5
Continuation awards	<u>4,676</u>	<u>10,330</u>	<u>11,448</u>	<u>15</u>	<u>36</u>	<u>40</u>
<i>Total</i>	13,352	13,102	13,102	46	45	45
<b>Upward Bound Math-Science</b>						
New Awards	20,927	9,110	852	78	34	3
Continuation awards	<u>13,050</u>	<u>22,326</u>	<u>30,287</u>	<u>48</u>	<u>82</u>	<u>112</u>
<i>Total</i>	33,977	31,436	31,139	126	116	115
<b>Educational Opportunity Centers</b>						
New Awards	29,020	4,521	2,704	87	11	5
Continuation awards	<u>17,987</u>	<u>42,536</u>	<u>44,353</u>	<u>38</u>	<u>114</u>	<u>120</u>
<i>Total</i>	47,007	47,057	47,057	125	125	125
<b>Student Support Services</b>						
New Awards	10,935	288	163,578	31	1	559
Continuation awards	<u>260,632</u>	<u>280,745</u>	<u>118,697</u>	<u>918</u>	<u>948</u>	<u>390</u>
<i>Total</i>	271,567	281,032	282,275	949	949	949
<b>McNair Postbaccalaureate</b>						
New Awards	32,568	9,815	764	137	40	3
Continuation awards	<u>12,787</u>	<u>33,821</u>	<u>42,872</u>	<u>51</u>	<u>141</u>	<u>178</u>
<i>Total</i>	45,355	43,636	43,636	188	181	181

<sup>1</sup> Does not include grants from mandatory funding.

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#### PROGRAM OUTPUT MEASURES

	Funding (\$000s)			Number of Awards		
	<u>2007</u>	<u>2008</u>	<u>2009</u>	<u>2007</u>	<u>2008</u>	<u>2009</u>
Staff Training						
New Awards	0	\$4,000	0	0	10	0
Continuation awards	<u>\$3,331</u>	<u>0</u>	<u>\$4,000</u>	<u>8</u>	<u>0</u>	<u>10</u>
<i>Total</i>	3,331	4,000	4,000	8	10	10
<i>Subtotal for discretionary grants</i>	824,506	822,537	822,537	2,718	2,680	2,677
Evaluation	1,922	1,500	1,500			
Administrative expenses:						
Peer review of new award applications	0	\$825	\$825			
Other expenses	<u>\$1,750</u>	<u>3,316</u>	<u>3,316</u>			
<i>Total</i>	1,750	4,141	4,141			
<b>Total, discretionary funding</b>	<b>828,178</b>	<b>828,178</b>	<b>828,178</b>			
<b>Upward Bound Mandatory Funding (Earmark Awards)</b>						
New grant awards	0	54,521	761	0	183 <sup>2</sup>	2 <sup>2</sup>
Continuation grant awards	0	0	56,493	0	0	183
Other	<u>0</u>	<u>2,479<sup>3</sup></u>	<u>1,504<sup>3</sup></u>			
<i>Subtotal for mandatory grants</i>	<u>0</u>	<u>57,000</u>	<u>57,000</u>	<u>0</u>	<u>183</u>	<u>185</u>
<b>Total</b>	<b>828,178</b>	<b>885,178</b>	<b>885,178</b>	<b>2,718</b>	<b>2,863</b>	<b>2,862</b>

<sup>2</sup> A total of 186 grantees will receive awards from the mandatory funds, but two of these grantees will not need a new award until 2009 and one will not need a new award until 2010 because they received 5-year awards under past competitions.

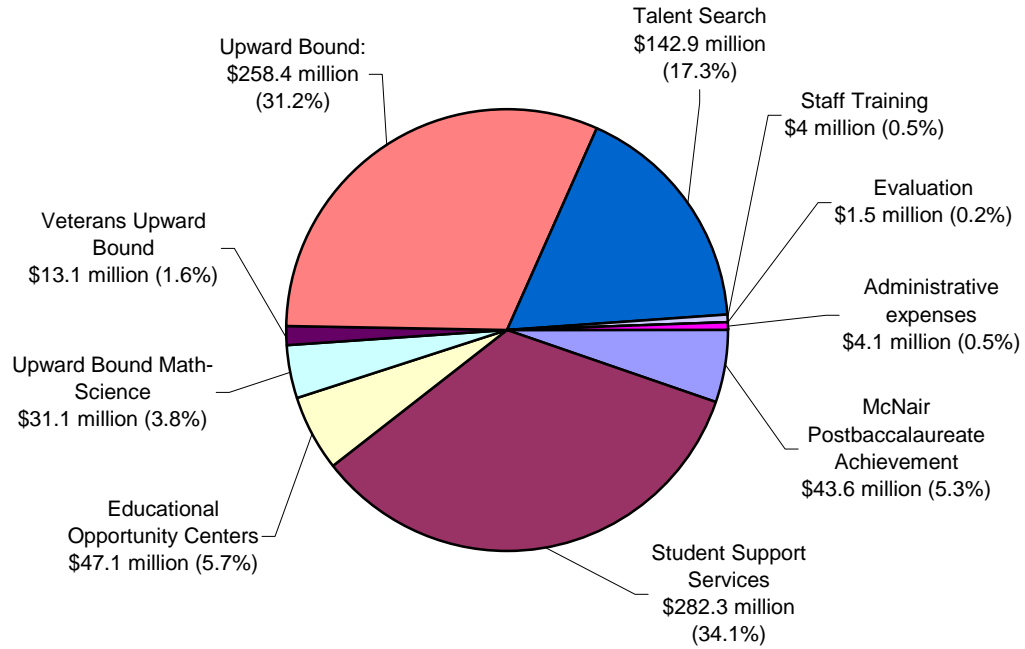
<sup>3</sup> Funds will support technical assistance and administration as well as grant supplements to Upward Bound grantees that received earmark awards under this legislative provision.

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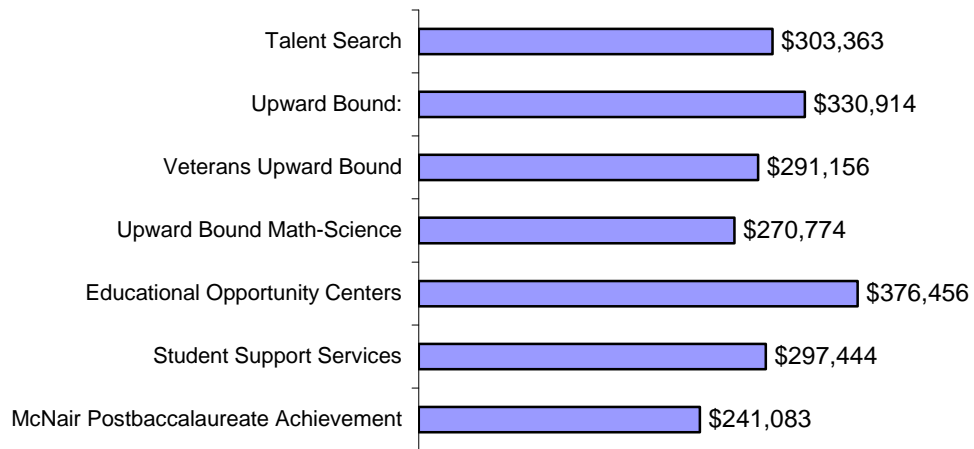
### Federal TRIO programs

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**2009 Discretionary Funding Request, by Program Area**



**Anticipated Average 2009 Award  
(Discretionary Funds Only)**

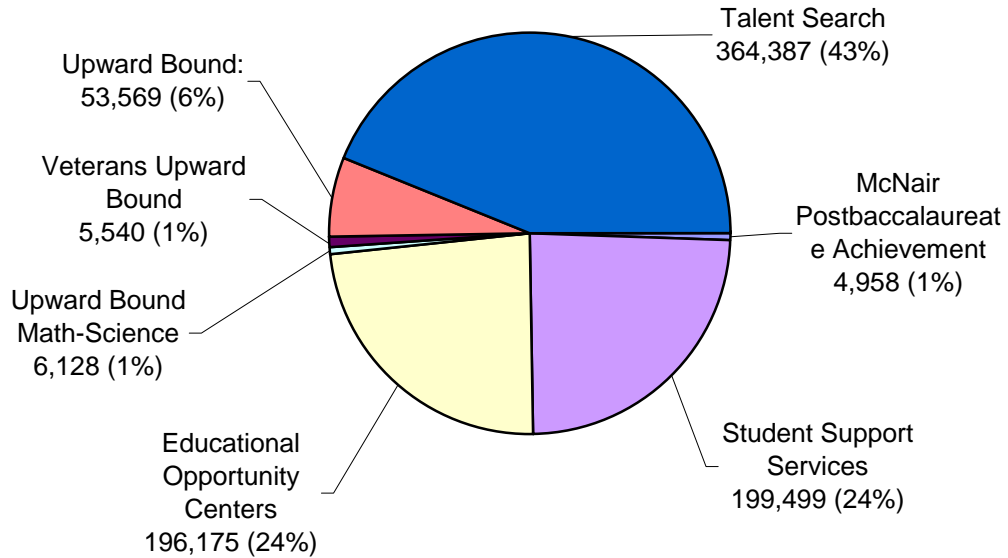


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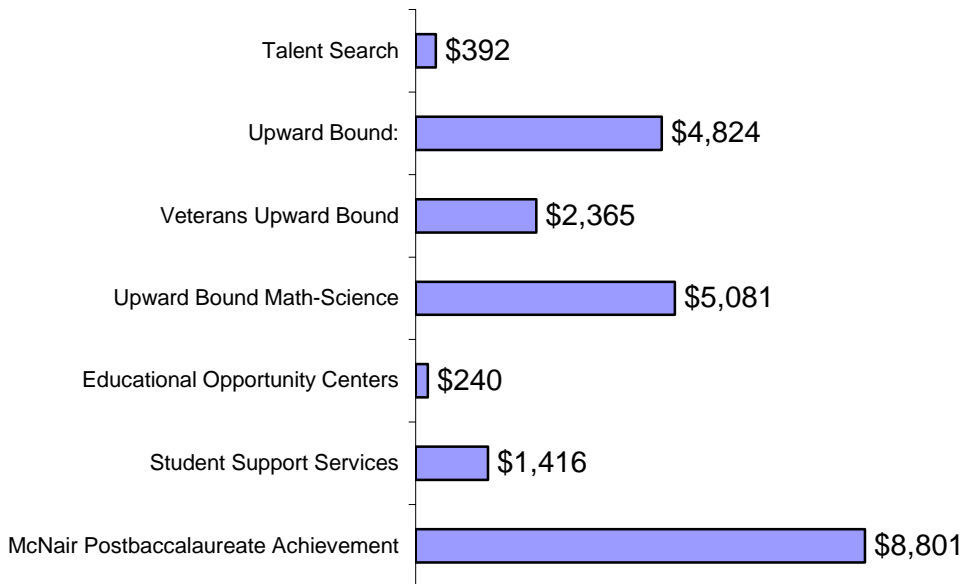
### Federal TRIO programs

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**Estimated Number of Students in 2009  
(Discretionary Funds Only)**



**Estimated 2009 Dollars per Student (Discretionary Funds Only)**



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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: Increase the percentage of low-income, first-generation college students who successfully pursue postsecondary educational opportunities.**

**Objective:** *Increase postsecondary enrollment rates of low-income, first-generation individuals in the academic pipeline.*

<b>Measure:</b> The percentage of participants enrolling in college.						
Year	Talent Search		Upward Bound		Ed Opportunity Centers	
	Target	Actual	Target	Actual	Target	Actual
2004	73.5	77.6	65	74.2	57.0	57.4
2005	74.0	77.8	65	78.4	57.5	56.9
2006	78.5	77.8	65		58.0	58.4
2007	79.0		65		58.5	
2008	79.0		70		59.0	
2009	79.5		75		59.5	

**Assessment of progress:** This measure looks at the percentage of participants who enroll in college. Targets are set and data are calculated independently for each of the three programs for which this measure is relevant. Data are provided by the grantees in their annual performance reports. Note that the percentages include only those students who are considered to be ready to apply to college.

- For Talent Search, the measure looks at the percentage of “college ready” participants (those who are seniors in high school in a given year, who graduated from high school in the previous year, or who received a high school equivalency diploma in the previous year) who enrolled in programs of postsecondary education for the first time during the given year or who have been admitted to college for the upcoming fall term. Data for this indicator show that Talent Search is exceeding its goals, with nearly 4 out of every 5 “college ready” participants enrolling in postsecondary education within a year of high school completion. During the 2005 PART assessment, the Department established a long-term target of 80 percent by 2011.
- For Upward Bound, including the Math and Science projects, the measure looks at the percentage of Upward Bound participants who are expected to graduate from high school in a given year who enroll in college during the following year. The Department exceeded its target for this program in 2005, with nearly 4 out of every 5 such participants enrolling in postsecondary institutions. As more performance data become available for the Upward

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Bound Math/Science program, the Department may decide to track the performance of the two programs separately (data for 2003 show that 70.4 percent of Upward Bound participants enrolled in college compared to 76.6 percent of Upward Bound Math/Science participants).

- Data for the Educational Opportunity Centers show that the program met its target for 2006. The Department continues to work ensure program improvement and has set a long-term target of a 61 percent enrollment rate by 2012.

**Objective:** *Increase postsecondary persistence and completion rates of low-income, first-generation individuals in the academic pipeline.*

**Measure:** The percentage of Student Support Services participants completing an Associates degree at their original institution or transferring to a 4-year institution within 3 years.

Year	Target	Actual
2004		25.6
2005		24.5
2006	27.0	
2007	27.5	
2008	27.5	
2009	28.0	

**Measure:** The percentage of Student Support Services first-year students completing a Bachelor's degree at their original institution within 6 years.

Year	Target	Actual
2004	30.0	28.1
2005	30.5	29.4
2006	28.0	
2007	29.0	
2008	29.0	
2009	29.5	

**Assessment of progress:** Grantees provide data on college completion in their annual performance reports. During the 2005 PART assessment, the Department determined that the previous performance measure for college completion, which tracked the combined completion rates of participants in 2-year and 4-year institutions, should be divided into separate indicators. Based on evaluation data, a long-term target had been previously set at 31 percent for the combined college completion rate of all program participants. Although performance was falling somewhat short of this target, the combined data masked improvement in certain areas; the college completion (or transfer) rate at 2-year institutions is lower than that at 4-year institutions, causing the appearance of a decrease in performance as the proportion of 2-year institutions in Student Support Services increased. For the separated measures, new long-term completion targets were established for 2012, with revised annual targets beginning in 2006. A continuing shortcoming of these measures is that they do not include any students who may have transferred to, and been successful at, other institutions, because the Department is unable to track the students across institutions. It is likely that some students complete their education at a different institution, and that the measures, therefore, understate performance.



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<b>Measure:</b> The percentages of TRIO McNair participants enrolling and persisting in graduate school.				
Year	Enrolling		Persisting	
	Target	Actual	Target	Actual
2004	36.0	45.3	75.0	77.7
2005	36.0	56.8	70.0	80.0
2006	37.0	56.2	79.0	80.6
2007	39.0		79.0	
2008	39.5		79.5	
2009	39.5		79.5	

**Assessment of progress:** Data from annual performance reports reveal that McNair Postbaccalaureate Achievement continues to achieve its targets for graduate school enrollment and persistence. Although performance levels fluctuate from year-to-year, the data appear to reflect a general trend of improvement. Long-term targets have been set at 40 percent enrollment and 80 percent persistence by 2012.

### Efficiency Measures

The Department developed a common efficiency measure for the TRIO programs to track the average annual cost per successful annual outcome. A successful annual outcome is defined as a student who persists toward or achieves the primary program goal—for example, a college student who remains in school or graduates. The Department initiated a multi-phase pilot plan to implement the efficiency measure for Student Support Services, Upward Bound, and Talent Search, the three TRIO programs that were assessed using the PART prior to 2005. In 2006, during the PART review, the Department adopted the efficiency measure for the McNair program. The plan has four general aspects: communicating with grantees, calculating efficiency data in a variety of ways, publishing efficiency data, and setting targets for improved efficiency.

For the Student Support Services program, the efficiency data and recently established target are included below. The efficiency data for Upward Bound and Talent Search also are included below, but targets for those programs will not be established until the data analysis is complete. Data on the McNair program are not yet available.

<b>Measure:</b> The gap between cost per successful outcome and cost per participant.						
Year	Talent Search		Upward Bound		Student Support Services	
	Target	Actual	Target	Actual	Target	Actual
2004		\$1.65		\$468		\$252
2005		1.80		340		245
2006		1.90				
2007					\$239	
2008					239	
2009					239	

**Assessment of progress:** The measures for these indicators are calculated using data from annual performance reports. The data suggest that efficiency improved for Upward Bound and Student Support Services between 2004 and 2005. For Talent Search, however, the gap between cost per outcome and cost per output increased from \$1.65 in 2004 to \$1.90 in 2006.

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However, because the Department is still in the early stages of implementing efficiency measures for the TRIO programs, it is too early to draw conclusions about their efficiency. As more trend data become available, additional data analyses are completed, and feedback is received from the TRIO community, the Department will work to ensure that efficiency measure data are informative and useful, and to ensure that efficiency measure targets are sufficiently ambitious yet reasonable.

### Other Performance Information

The Department has consistently invested significant resources to evaluate the effects of the Federal TRIO Programs. Currently, five TRIO programs have evaluations that have been completed or are underway. Each TRIO evaluation was conducted independently, using sufficiently rigorous research methodologies to ensure that the findings will be a reliable source of information about the performance of the overall program.

- *Talent Search*: The national evaluation of Talent Search indicates that the program has generally positive impacts. Initiated in 1998, this study found consistently large differences between Talent Search participants and non-participants in applying for financial aid and enrolling in college. The study relied on quasi-experimental matching techniques using administrative data from three States, but the findings are suggestive of the effectiveness of the Talent Search program as a whole. The Department released the final evaluation report in June 2006.
- *Upward Bound*: The ongoing evaluation of Upward Bound, based on a random assignment design, was initiated in 1991. The Third Follow-up Report, which was released in 2004, indicates that Upward Bound has a significant positive impact on higher-risk students, namely those with lower educational expectations. For these students, the program increases enrollment in 4-year colleges by 20 percentage points. Additionally, Upward Bound increases 4-year college enrollment rates by 6 percentage points, by encouraging students who would otherwise enroll in 2-year colleges to enroll in 4-year colleges. The Department anticipates releasing a report with additional data on college outcomes in the summer of 2008.

The Department began a new evaluation of Upward Bound, which is being conducted by an independent contractor under the auspices of the Institute of Education Sciences, in September 2006. The schedule called for collecting baseline information on students beginning in the 2007-08 school year, surveying grantees on their practices in late 2008, and following high school outcomes through 2010. Case studies were planned during late 2010 to examine strategies associated with positive outcomes during high school. A second 5-year contract, which would run through 2017, would look at progress through college. As of December 2007, over 1,300 eligible students had gone through admissions lotteries to determine whether they would participate in Upward Bound, and more than 90 percent of them had received parental consent to be included in the study.

A continuing misunderstanding about the evaluation is that the randomized-control design reduced the number of students who could participate in Upward Bound, which it did not. The evaluation affected the selection process, but not the total number of students served. The Department considered the Upward Bound program to be a candidate for a random

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assignment study because projects had, for years, reported that far more students were eligible to participate than could be accommodated. Given that not all interested students could be served, and given that the prior evaluation had shown that, overall, the program did not improve student outcomes, random assignment appeared to be a fair and equitable means of student selection. Students were told up front of the selection process, and project staff were aware that they could refer students for any other programs for which they were eligible, including Talent Search. In October 2007, the Department offered supplemental funding to Upward Bound grantees to help them refer students who were not selected to participate in Upward Bound to other supplemental services. In addition, the Department also agreed to provide a mechanism by which projects included in the evaluation could bring a limited number of randomly selected students from the comparison group into the experimental group to fill vacancies that occurred during the progression of the project. The evaluation is designed to take into account the effect of the other services, and is designed to help ascertain whether the more intensive and expensive Upward Bound program significantly improves student outcomes, for whom it has the greatest impact, and which practices are most effective.

- *Upward Bound/Math/Science*: The study of Upward Bound Math/Science is examining the extent to which participants pursue college majors in math and science fields, and the first report, published in 2007, indicates generally positive results. The next report from the study should be released in the summer of 2008.
- *Student Support Services*: The national evaluation of Student Support Services is the longest running study currently underway. Initiated in 1990, the Student Support Services study indicates that participation in supplemental services is related to improved student outcomes. The quasi-experimental study was based on a random cross-section of projects, so the findings are reflective of the Student Support Services program as a whole. The Department anticipates releasing the final evaluation report in June 2008.
- *McNair Postbaccalaureate Achievement*: The study of McNair Postbaccalaureate Achievement is a descriptive analysis of McNair participants' educational and employment outcomes. The Department plans to release the findings from the study in March 2008.
- The *TRIO Promising and Innovative Practices Studies* are conducting site visits and on-line discussions to help identify promising and innovative practices. The contractor has completed the data collection for Student Support Services and will next begin data collection for the Upward Bound program. The Department expects to release reports from the studies in the summer of 2009.

### Followup On Part Findings and Recommendations

PART assessments have been completed for the regular Upward Bound program (2002), Student Support Services (2002 and 2005), Talent Search (2003 and 2005), McNair (2006), and Educational Opportunity Centers (2007). The Upward Bound program received an "Ineffective" rating and has not been re-assessed. Talent Search and Student Support Services were rated Moderately Effective when they were reassessed. McNair also was rated "Moderately Effective" and Educational Opportunity Centers received a rating of "Results Not Demonstrated."

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The PART improvement plan recommendations are presented below, followed by a description of the Department's actions to address them.

- *Implement a strategy to use efficiency measures to improve cost effectiveness in achieving the program goals of the Talent Search, Upward Bound, and Student Support Services programs.* For Talent Search, the program office will analyze efficiency data for each project and will develop, by the end of September 2008, an approach for establishing efficiency improvements. For Upward Bound, the program office has calculated overall efficiency data and will, by the end of May 2008, prepare the grantee-level performance and efficiency analyses, post the data to the web, and develop an approach for establishing efficiency improvements. For Student Support Services, the program office calculated efficiency measure data at the project level and shared the information with the TRIO community. The 2003-04 and 2004-05 data are available on the public website. The Department will analyze a third year of data and develop plans to use the data to improve program efficiency.
- *Develop targets for the efficiency measures for the Talent Search, Upward Bound, and Educational Opportunity Centers programs.* For Talent Search, the program office developed a new annual performance report for use beginning in the fall of 2007 that provides clearer data definitions to help ensure that comparable data are collected. Once these data are analyzed, it will use them to develop targets. For Upward Bound, the program office will examine the grantee efficiency data and overall efficiency results to date and propose strategies for setting outyear targets. For Educational Opportunity Centers, fiscal year 2007 information on the cost per participant who enrolls in college, re-enrolls in college, or enrolls in continuing education will be available in December 2008 and will be used to set a baseline.
- *Make disaggregated grantee-level performance data for the Talent Search and Educational Opportunity Centers programs available to the public.* The program office will place grantee-level data for Talent Search and Educational Opportunity Centers on the public web site by the end of June 2008.
- *Calculate a third year of McNair Postbaccalaureate Achievement grantee-level performance data and program level efficiency data, make the data available to the public, and examine whether revising the graduate enrollment measure is warranted.* Program office staff will publish the data for fiscal year 2007 on the program website by the end of December 2008 and provide recommendations for changes by the end of February 2009.
- *Take steps to better link rewards for Student Support Services grantees' past performance with demonstrated achievement of key program goals.* By the end of September 2008, the program office will complete an analysis of the annual performance reports and options to improve the program by better linking of prior experience points to achievement of project goals. The information gained will be used to guide the 2009 grant competition.
- *Complete the final reports from the evaluations of the Upward Bound and McNair Postbaccalaureate Achievement programs.* The Department's Policy and Program Studies Service (PPSS) plans to release the National Evaluation of Upward Bound Final Report in the summer of 2008. This random assignment longitudinal study examines the impact of Upward Bound on college enrollment and completion. A parallel study evaluates the effect

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of Upward Bound Math/Science. PPSS plans to release the McNair evaluation report, which examines the extent to which McNair program participants complete doctoral studies and obtain faculty or research positions at institutions of higher education in March 2008. PPSS also plans to release a Student Support Services report, which examines the effects participating in the program has on postsecondary outcomes such as persistence and completion, by June 2008. Program office staff will examine the reports to identify possible strategies for program improvement.

- *Conduct a study on promising practices that can be used to help improve Student Support Services grant outcomes.* The study is underway with a target completion date of the summer of 2009.
- *Develop a strategy for conducting an evaluation of the Educational Opportunity Centers program.* By the end of September 2008, the Department will develop a strategy for evaluating the program.

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### Gaining early awareness and readiness for undergraduate programs

(Higher Education Act of 1965, Title IV, Part A, Subpart 2, Chapter 2)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$303,423	\$303,423	0

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) provides 6-year grants to States and partnerships to support early college preparation and awareness activities at the State and local levels to ensure low-income elementary and secondary school students are prepared for and pursue postsecondary education.

GEAR UP has two major service components. First, projects provide a comprehensive set of early intervention services including mentoring, tutoring, academic and career counseling, parental involvement, and other college preparation activities like exposure to college campuses and financial aid information and assistance. Second, projects provide college scholarships to participating students. The minimum scholarship amount for each student is 75 percent of the average cost of attendance at a 4-year public institution in the student's State or the maximum Pell Grant, whichever is less. A personalized 21<sup>st</sup> Century Scholar Certificate is also provided to GEAR UP students to illustrate the amount of Federal financial aid that they may be eligible to receive for college.

GEAR UP supports two types of grants:

State Grants—States receiving funds are required to provide both an early intervention and a scholarship component, targeted to low-income students in grades K-12. At least 50 percent, but not more than 75 percent, of the grant funds must be used to provide scholarships to participating students. Conversely, at least 25 percent, but not more than 50 percent, of the funds must be used for early intervention services. To meet the matching requirement, States must cover at least 50 percent of the project costs with cash or in-kind contributions from non-Federal sources.

Partnership Grants—Eligible partnerships include those with at least one local educational agency acting on behalf of one or more eligible low-income middle schools, the high schools that students from those schools would normally attend, one institution of higher education, and at least two community entities such as businesses, community-based organizations, professional associations, or State and local agencies. Partnerships receiving funds are not required to provide a scholarship component. However, they are required to provide an early intervention component to at least one cohort or grade level of students beginning no later than the 7<sup>th</sup> grade, in a school that has a 7<sup>th</sup> grade and in which at least 50 percent of the students

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enrolled are eligible for free or reduced-price lunch—or to an entire grade level of students, not later than the 7<sup>th</sup> grade, who reside in public housing. Partnerships must ensure that services will continue to be provided through the 12<sup>th</sup> grade. To meet the matching requirement, partnerships must cover at least 50 percent of the total project costs over the total project period with cash or in-kind contributions from non-Federal sources.

Of the amount appropriated for GEAR UP: 1) not less than 33 percent must be used to fund State Grants and not less than 33 percent must be used to fund Partnership Grants (although the Department has authority to adjust the distribution based on the number and quality of grant applications); 2) up to \$200,000 must be used to provide 21<sup>st</sup> Century Scholar Certificates; and 3) up to 0.75 percent must be used to conduct a national evaluation of the GEAR UP program.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$298,230
2005.....	306,488
2006.....	303,423
2007.....	303,423
2008.....	303,423

### FY 2009 BUDGET REQUEST

The Administration requests \$303.4 million for the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) in fiscal year 2009. By targeting entire grades of students no later than the 7<sup>th</sup> grade, serving them throughout middle and high school, and providing them with significant scholarship funding, GEAR UP offers a unique approach to ensuring that low-income students have the skills and resources to attend college.

The Administration's budget request for GEAR UP is based on the demonstrated promise of the program's approach. GEAR UP received an Adequate PART rating in 2003 and early indications suggest that GEAR UP is having some success. The positive PART assessment of GEAR UP noted that the program employs a number of strategies that hold significant promise for success in college preparation. GEAR UP supports State efforts and builds partnerships within communities, targets entire cohorts of students early in high-poverty middle schools, provides students with a full range of services through the 12<sup>th</sup> grade, and offers a financial guarantee to attend college. Early evaluation findings show that GEAR UP has positive impacts through the 8<sup>th</sup> grade, has a positive impact on student achievement on standardized tests, and has achieved its early performance targets. The funds requested in fiscal year 2009 would support continuation awards. At the level requested, 40 States and 152 partnerships would receive funding to serve approximately 743,000 students.

Significantly, several features of GEAR UP, including targeting entire grades of students, partnering with local organizations and businesses, and matching local contributions, allow projects to serve increasing numbers of students at a decreasing cost to the Federal Government. Furthermore, the substantial State and local investments it requires through both the creation of partnerships and matching contributions suggest that it is optimally designed to

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have a significant impact on the educational outcomes of low-income middle and high school students.

The Administration is mindful of a number of provisions in pending Higher Education Act reauthorization legislation. The House bill (H.R. 4137) includes a provision mandating that the Department give preference, in making new awards, to applicants who have previously carried out successful GEAR UP projects. This provision is unnecessary, as entities that have previously completed a GEAR UP project ought to be able to compete successfully in an open competition. Additionally, such a provision would be administratively burdensome and could have negative impacts on the Department's ability to support the most worthwhile grant applicants and distribute funding on the basis of demonstrated need. The House bill also includes a provision that would make grants 7 years long, and require that grantees continue providing services through 1 year of postsecondary education. The Administration supports the objective of assisting students with the transition to postsecondary education but is concerned about the feasibility of grantees providing services to all students, some of whom may choose to attend schools out-of-state.

Both the House and Senate's reauthorization bills (H.R. 4137 and S. 1642) would reduce the minimum scholarship under the GEAR UP program from the maximum Pell grant level to the minimum Pell grant level; from \$4,050 to \$400. These scholarships are designed to increase access to postsecondary education by assisting students with high financial need to pay for college tuition and expenses. The Administration is concerned that scholarships of \$400 would be too small to make a substantial difference to students' financial situation. The Senate's proposal requires that States that are using the cohort approach in their GEAR UP program create a Trust for each cohort, holding the minimum scholarship multiplied by the number of students in the cohort. Currently, the number of students in the cohorts of State grants ranges from 500 - 5,000. For a grant with 5,000 students, the grantee would have to set aside a minimum of \$2 million of their grant to provide scholarships that would be too small to make a substantial difference to the student's financial situation.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>State Grants:</b>			
Number of new awards	0	6	0
Average new award	0	\$2,992	0
Total new award funding	0	\$17,950	0
Number of NCC awards	40	34	40
Average NCC award	\$2,873	\$3,056	\$3,046
Total NCC award funding	\$114,920	\$103,887	\$121,837
Total award funding	\$114,920	\$121,837	\$121,837
Total number of awards	40	40	40
Total number of students	424,513	437,320	439,687
Federal cost per student (whole \$)	\$271	\$279	\$277



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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Partnership Grants:</b>			
Number of new awards	7	20	0
Average new award	\$1,379	\$951	0
Total new award funding	\$9,651	\$19,022	0
Number of NCC awards	167	132	152
Average NCC award	\$1,062	\$1,216	\$1,184
Total NCC award funding	\$177,302	\$160,514	\$180,036
Total award funding	\$186,953	\$179,536	\$180,036
Total number of awards	174	152	152
Total number of students	331,245	301,648	303,357
Federal cost per student (whole \$)	\$564	\$595	\$592
21 <sup>st</sup> Century Scholar Certificates	\$50	\$50	\$50
Evaluation	\$1,500	\$1,500	\$1,500
Peer review of new award applications	0	\$500	0
Total program funding	\$303,423	\$303,423	\$303,423
Total number of awards	214	192	192
Total number of students	755,758	738,968	743,044

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data, and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2009 and future years, and the resources and efforts invested by those served by this program.

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**Goal:** To significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education.

**Objective:** Increase the academic performance and preparation for postsecondary education of GEAR UP students.

**Measure:** The percentage of GEAR UP students who passed pre-algebra by the end of the 7<sup>th</sup> grade and the percentage of GEAR UP students who passed Algebra 1 by the end of the 9<sup>th</sup> grade.

Year	Target		Actual	
	Pre-algebra	Algebra 1	Pre-algebra	Algebra 1
2005	25	50	38	52
2006	30	50	30	50
2007	35	50	32	43
2008	35	50		
2009	35	50		

**Assessment of progress:** This measure tracks completion rates for two middle-school classes that research has shown are key indicators of college readiness. Data for this measure, collected through annual performance reports, reflect student completion levels from the prior year. In previous years, GEAR UP has been successful in achieving its early performance targets. However, in 2007 the program did not meet its target for either measure. Future data will indicate whether the 2007 data are a 1-year aberration or part of a larger pattern. It should be noted that, as the measure tracks only the percent of those students who are enrolled that pass the class, the percentage of the entire cohort who are on track to college-readiness might actually be considerably lower.

**Objective:** Increase the rate of high school graduation and enrollment in postsecondary education of GEAR UP students.

**Measure:** The percentage of GEAR UP students who graduated from high school.

Year	Target	Actual
2006		84.4
2007	73.0	
2008	73.5	
2009	74.0	

**Assessment of progress:** The primary goals of the GEAR UP program are to increase the high school completion and college enrollment rates of low-income students. In 2006, GEAR UP students had an 84.4 percent high school graduation rate. According to the National Center for Education Statistics (NCES), the national average graduation rate for public school students was 74.3 percent in 2004, the latest year for which there are data. GEAR UP serves a more disadvantaged population than the national student body as a whole. Research shows that these students have traditionally achieved lower graduation rates than the national student body as a whole. As such, if this level of performance is confirmed by future years' data, achieving a level of performance that is higher than the national average would indicate that the program is successfully meeting its performance goal. Targets were developed using data from NCES with the goal of closing the gap between low-income students and their peers in high school completion. As the 2006 data are the first year of data for this measure, the Department

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will use this and future year's data to assess the appropriateness of the current performance targets for this measure. It is expected that data for 2007 will be available in spring 2008.

<b>Measure:</b> The percentage of former GEAR UP students who are enrolled in college.		
<b>Year</b>	<b>Target</b>	<b>Actual</b>
2006		55.2
2007	65.0	
2008	65.5	
2009	66.0	

**Assessment of progress:** The primary goals of the GEAR UP program are to increase the high school completion and college enrollment rates of low-income students. In 2006, 55.2 percent of GEAR UP students who graduated from high school were enrolled in postsecondary education. In 2005, 68.6 percent of all high school completers enrolled in postsecondary education immediately following high school graduation, according to NCES. In that same year, 53.5 percent of low-income students enrolled in postsecondary education immediately following high school graduation, according to the same NCES research. If future years' data confirm the 2006 data, then it would appear that the program is not successfully meeting its performance goal. Targets were developed using data from NCES with the goal of closing the gap between low-income students and their peers in college enrollment. As the 2006 data are the first year of data for this measure, the Department will use this and future year's data to assess the appropriateness of the current performance targets for this measure. It is expected that data for 2007 will be available in spring 2008.

### Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as enrollment in postsecondary education by GEAR UP students immediately following high school graduation. This measure will be calculated by dividing funding by the number of GEAR UP students who are enrolled in postsecondary education immediately following high school graduation. The Department is considering several methods for calculating the measure, such as determining total funding for a cohort over the 6-year period during which they are served. The Department expects to report data for this measure by December 2008. Data from this measure will allow program managers to identify grantees that are performing at different levels and will be used to focus technical assistance efforts where they could be most effective, as well as to identify exemplary practices for improving program performance outcomes. Efficiency measure data will also be used to track and make program and project-level improvements over time.

### Other Performance Information

In 2004, the National Council for Community and Education Partnerships commissioned ACT to conduct a study looking at the impact of GEAR UP on student achievement on ACT-administered standardized tests. The study findings show that, when compared with students from comparable schools, students at schools with GEAR UP programs did slightly better on tests designed to measure their academic preparedness for postsecondary education.

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### Gaining early awareness and readiness for undergraduate programs

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GEAR UP students also did better than students from non-GEAR UP schools on tests that measured the students' intent to pursue postsecondary education.

In 2001, the Department initiated an evaluation on the early effects of the GEAR UP program. The final report of this evaluation will be released in 2008. This study reports on the program's impact on participants attending middle schools, their parents, the effects of GEAR UP on middle schools, and on the sustainability of the program's activities after Federal funds are no longer available. Overall, the study found that GEAR UP has had significant impacts on students' and parents' knowledge and behavior, and on academic and administrative issues at GEAR UP schools. Regarding GEAR UP students and their parents, the study made the following findings:

- Students in GEAR UP middle schools were offered and took more rigorous academic courses than students in the non-GEAR UP schools, particularly above-grade-level science and algebra courses.
- GEAR UP especially affected the overall academic rigor of courses taken by African-American students, who took more high-level classes than their non-GEAR UP counterparts.
- GEAR UP had a small, but positive, effect on students' knowledge concerning the postsecondary education opportunities available to them. This was particularly true for African-American students.
- GEAR UP had a positive effect on improving parents' knowledge about postsecondary education opportunities and benefits for their children and on parents' involvement in their children's education.

Impacts were not found for other outcomes such as grade point averages, but that seems consistent with an increase in rigorous course-taking behavior. The study also did not find any impact on school attendance or disciplinary problems, or on students' academic expectations, which were already high.

The study noted that GEAR UP middle schools are more likely than non-GEAR UP middle schools to offer honors and above grade level classes. This finding is significant because the study also found that enrolling in higher level classes is usually not the student's decision, but a function of the availability of such courses and decisions made by guidance counselors using teacher recommendations, standardized test scores or class grades.

The study also included findings that may be useful in shaping program improvements and guiding the Department's technical assistance efforts. GEAR UP grants provide services to cohorts of students in both middle and high school. The study found that many grantees encountered difficulties in transitioning their projects from middle school into high school. The study also noted that the difficulties experienced by grantees, such as inadequate staffing and administrative barriers, were similar to those experienced 2 years earlier when the grants were initially implemented in the middle school. Projects experiencing the smoothest transitions tended to provide services to high school students that were similar to those provided to middle school students. The study also found evidence that some aspects of GEAR UP will be

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sustained in middle schools beyond Federal funding. The prospects for sustainability appear strongest in those projects with strong partnerships, school administrative commitment, and ability to secure financial resources from other sources.

#### **Followup on PART Findings and Recommendations**

This program was assessed using the PART in the fiscal year 2003 and the program was rated Adequate. The PART assessment noted that the program employs a number of strategies that hold significant promise for success in college preparation. The PART assessment also identified several key weaknesses. Most importantly, the program performance information available at the time was found to be limited. Evaluation findings and performance data were not available to determine GEAR UP's success at increasing high school completion and college enrollment rates, and measuring success against other performance measures was hampered by recently established targets. Thus, it had not been possible to make program improvements or inform budgetary decisions on the basis of performance data.

The Department has taken steps to address PART-related program deficiencies and recommendations. GEAR UP's annual performance reporting requirements were revised to collect more accurate data on course completion, and a final performance report was developed to collect data on high school graduation and college enrollment. Additionally, a follow-up evaluation with expanded treatment and comparison samples has been initiated to examine the effects of GEAR UP beyond middle school.

The PART improvement plan recommendations are presented below, followed by a description of the Department's actions to address them.

- *Develop and implement a strategy to use efficiency measures to improve cost effectiveness in achieving the program goals.* The Department is developing a grantee level data analysis using data from the program's efficiency measure. This analysis will be used to develop targets for the program's efficiency measures. It is expected that the grantee level analysis and targets will be completed by the end of December 2008. The grantee level analysis will form the basis for the development of specific strategies to improve cost effectiveness in achieving the program goals. The Department expects to complete this process by June 2009.
- *Utilize newly available information on the program's college participation performance measure to assess program progress and target technical support to GEAR UP grantees.* The first annual performance reports to include data on high school completion and college enrollment should be available in 2008. Once those data are available the Department will work to develop appropriate strategies to assess program progress and target technical support to GEAR UP grantees. It is expected that this process will be complete by June 2009.
- *Utilize the results of the recently completed Early Effects Study to develop strategies to improve program management.* The Early Effects Study is currently being prepared for publication. Once the report is published, ED will use its content to develop strategies to

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### **Gaining early awareness and readiness for undergraduate programs**

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improve program management. It is expected that the report will be published early in 2008 and that the strategies will be developed and implemented by September 2008.

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### Byrd honors scholarships

(Higher Education Act of 1965, Title IV, Part A, Subpart 6)

FY 2009 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$40,284	0	-\$40,284

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is not sought.

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### PROGRAM DESCRIPTION

The Byrd Honors Scholarships program promotes academic excellence and achievement by awarding merit-based scholarships to high school students, through formula grants to State educational agencies, who have demonstrated outstanding academic achievement and who show promise of continued academic excellence. Scholarships of \$1,500 per year are awarded for up to 4 years for study at any institution of higher education.

Program funds are allocated to States, including the District of Columbia, the Commonwealth of Puerto Rico, Palau, and the insular areas, based on the ratio of the State's school-aged population (5-17 years old) to the total school-aged population in all participating States. No State may receive less than \$15,000 for new scholarships. The program is administered by State educational agencies and the Pacific Regional Educational Laboratory, which establish specific scholar-selection criteria in consultation with school boards, teachers, counselors, and parents.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$40,758
2005.....	40,672
2006.....	40,590
2007.....	40,590
2008.....	40,284

### FY 2009 BUDGET REQUEST

For fiscal year 2009, the Administration is requesting no funding for the Byrd Honors Scholarships program. The Administration believes that funding for this program is unnecessary because it duplicates existing Federal student financial assistance programs, as well as State, local, and private efforts that provide merit-based resources for postsecondary education. The Administration's budget request for other Federal student financial assistance programs demonstrates its commitment to ensuring that all Americans have access to and financial assistance for lifelong learning.

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### Byrd honors scholarships

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new scholarships	6,362	6,732	0
Total new scholarship funding	\$9,543	\$10,098	0
Number of NCC scholarships	20,698	20,124	0
Total NCC scholarship funding	\$31,047	\$30,186	0
Total program funding	\$40,590	\$40,284	0
Total number of scholarships	27,060	26,856	0
Scholarship amount (whole \$)	\$1,500	\$1,500	0

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years, and the resources and efforts invested by those served by this program.

**Goal: To promote student excellence and to recognize exceptionally able students who show promise of continued excellence.**

**Objective:** *Byrd Honor Scholars will successfully complete postsecondary education programs at high rates.*

<b>Measure:</b> The percentage of Byrd scholars graduating within 4 years.		
Year	Target	Actual
2003		98
2004		92
2005	95	90
2006	93	96
2007	93	
2008	93	

**Assessment of progress:** Data for this measure are collected through annual performance reports. The 2003 data, which shows a 98 percent 4-year graduation rate, were based only on Byrd scholars receiving program funding for 4 consecutive years. This method for calculating the measure generated an artificially high graduation rate and as a result, beginning in 2004, the method for calculating the measure was revised to include all Byrd scholars. The target for 2005 was based on the old calculation method. Subsequent annual and long-term targets are based on the revised calculation strategy. Therefore, the 92 percent 4-year graduation rate in 2004 for all Byrd scholars does not necessarily represent an actual decline in performance. In



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### Byrd honors scholarships

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2006 performance on this measure was 96 percent. A recently published study produced by the National Center for Education Statistics found that the 5-year degree completion rate among undergraduate students was 47 percent. While these data may not be directly comparable to data from this performance measure, it does provide some context for the Byrd performance data on this measure. Performance on this measure should also be understood within the context that students who receive Byrd scholarships are top-ranked students who would be expected to have a higher graduation rate than the student population as a whole. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

**Objective:** *Byrd Scholars will successfully persist from one school year to the next at high rates.*

<b>Measure:</b> The percentage of Byrd Scholars remaining in school after 3 years of study.		
Year	Target	Actual
2004		98.0
2005	98	98.0
2006	98	99.7
2007	98	
2008	98	

**Assessment of progress:** Data for this measure are collected through annual performance reports. The data are based on the number of scholars who persist to the end of their third year of study. In 2006, just under 100 percent of Byrd scholars successfully persisted from one school year to the next. A recently published study produced by the National Center for Education Statistics found that the 5-year persistence rate among undergraduate students was 65 percent. While these data may not be directly comparable to data from this performance measure, it does provide some context for the Byrd performance data on this measure. Performance on this measure should also be understood within the context that students who receive Byrd scholarships are top-ranked students who would therefore be expected to have a higher persistence rate than the student population as a whole. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

### Efficiency Measures

<b>Measure:</b> The cost of a successful outcome: the Federal cost per Byrd recipient student who successfully persists or graduates.		
Year	Actual Performance	Performance Targets
2004	\$1,866	
2005	\$2,121	
2006	\$1,651	

The efficiency measure for this program is the cost of a successful outcome, where success is defined as persistence or graduation. This is a new measure created through the PART process and it ties in with the program's performance measures. This measure is calculated by dividing the appropriation by the number of students persisting and completing during the school year. For 2006, the measure ranges from approximately \$1,500 to \$2,139 for the 43 States for which the Department has sufficient data to calculate the measure. The Department is planning to use efficiency measure data, along with other performance information, to produce a program

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### Byrd honors scholarships

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performance report that includes a grantee-level analysis and expects the report to be completed by the end of fiscal year 2008. The grantee-level analysis will form the basis for efficiency measure targets.

Data from this measure will allow program managers to identify States that are performing at different levels and will be used to focus technical assistance efforts where they could be most effective, as well as identifying exemplary practices for improving program performance outcomes. The program's statute allows States to establish unique eligibility criteria. In light of this, the efficiency measure may also be useful in analyzing the relative effectiveness of the criteria adopted by individual States and identifying where program managers could productively initiate dialogue with States regarding criteria that appear to be less efficient or effective.

### Followup on PART Findings and Recommendations

This program underwent a PART review for fiscal year 2006 and received a rating of Results Not Demonstrated. This rating was due to the fact that data were not available to support the program's performance measures and demonstrate program performance. Most of these data are now available. The PART assessment identified several major design deficiencies that limit the program's effectiveness or efficiency. The assessment found that the program is duplicative of State, local, and private efforts that provide merit-based resources for postsecondary education. The PART assessment also noted that allowing States to establish unique eligibility criteria creates eligibility variation that limits the effectiveness of the program at the national level and that the prohibition on State use of funding for collecting performance data harms the quality of data provided to the Department.

The PART improvement plan recommendations are presented below in italics, followed by a description of the Department's corrective actions.

- *Explore strategies to address those legal barriers that hinder efforts to improve program performance.* Although the Administration does not support reauthorization of this program, the Department suggested that, if the program is reauthorized, the authority should be revised to target scholarships to students with high financial need. Additionally, the statutory authority should be revised to require States to utilize uniform eligibility criteria and to allow States to use program funding to collect performance data. These statutory changes would increase the impact of the program, as well as the Department's ability to effectively monitor and assess program performance.
- *Implement a strategy for making program performance data accessible to the public in a transparent way.* The Department is working to complete the grantee-level analysis and make it, along with annual report and performance data, available to the public through the Department's website. It is expected that these will be published on the Department website by the end of fiscal year 2008.
- *Develop independent program evaluations of sufficient scope and quality to support program improvements and evaluate program effectiveness and relevance to the problem, interest, and need.* The Department may use funds from the GPRA Data/HEA Program Evaluation program to conduct an assessment of the program.

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### Javits fellowships

(Higher Education Act of 1965, Title VII, Part A, Subpart 1)

FY 2009 Authorization (\$000s): To be determined <sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$9,530	\$9,844	+\$314

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

The Javits Fellowships program provides fellowships to students of superior ability who are pursuing doctoral degrees in the arts, humanities, and social sciences at any institution of higher education. Students pursuing a master's degree in the arts, humanities, and social sciences in fields for which a master's degree is commonly accepted as the highest terminal degree are also eligible. The Javits Fellowships Board establishes program policies, oversees program operations, selects fields of study in which fellowships are to be awarded, determines the criteria for distributing fellowships, and appoints panels to select fellows. Fellows are selected for a period of up to 4 years through a national competition on the basis of demonstrated achievement, financial need, and exceptional promise.

Funds for this program provide fellowships for the academic year beginning in the fiscal year following the fiscal year for which the funds are appropriated, ensuring that fellowships are awarded before fellows must make final decisions about graduate school. Each fellowship consists of a student stipend to cover living costs, and an institutional payment to cover each fellow's tuition and other expenses. The stipend is the lesser of demonstrated need or the level of support provided by National Science Foundation's Graduate Research Fellowships program. The institutional payment is adjusted annually based on the Consumer Price Index.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$9,876
2005.....	9,797
2006.....	9,699
2007.....	9,699
2008.....	9,530

### FY 2009 BUDGET REQUEST

The Administration requests \$9.8 million for the Javits Fellowships program for fiscal year 2009, an increase of 3.3 percent, or \$314,490, over the appropriation for fiscal year 2008. In spite of the positive performance outcomes and an Adequate PART rating, since fiscal year 2000, the

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### Javits fellowships

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number of fellowships awarded through the program has decreased significantly. Since 2000, the appropriation for the Javits Fellowship program has decreased, while stipend levels, which are statutorily tied to National Science Foundation graduate stipends, have increased sharply. This has resulted in a 47 percent decline in the number of graduate fellowships offered since the year 2000; down from 415 in 2000 to 220 in 2008. Each year the stipend is aligned with the NSF graduate fellowships and the institutional payment is increased in line with inflation, which was 3.3 percent in fiscal year 2007. The requested increase would increase the appropriation in line with inflation in order to begin to arrest the long-term erosion of the program. The Administration's request would provide support for 225 fellowships in fiscal year 2009.

The Javits Fellowships program is the primary means of Federal support for graduate study in the arts, humanities, and social sciences. The Javits Fellowships program reduces the gaps in access to postsecondary education for low-income students by providing students with exceptional promise and high financial need with the resources that they need to pursue post-graduate studies. This request recognizes the role that graduate education plays in contributing to the advancement of national prosperity and demonstrates the Administration's commitment to outstanding achievement and a high quality education. The Administration again proposes appropriations language to provide that funds appropriated in 1 fiscal year would be available for obligation for 2 fiscal years in order to fund fellowships the following school year.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new fellowships	61	61	66
Average new fellowship	\$43	\$43	\$44
Total new fellowship funding	\$2,615	\$2,615	\$2,909
Number of NCC fellowships	185	159	159
Average NCC fellowship	\$38	\$43	\$43
Total NCC fellowship funding	\$6,987	\$6,820	\$6,837
Average institution payment	\$13	\$13	\$14
Average stipend	<u>\$30</u>	<u>\$30</u>	<u>\$30</u>
Total average fellowship	\$43	\$43	\$44
Peer review of new award applications	\$97	\$95	\$98
Total program funding	\$9,699	\$9,530	\$9,844
Total number of fellowships	246	220	225

## HIGHER EDUCATION

### Javits fellowships

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#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal year 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: To provide financial assistance to graduate students who have demonstrated superior academic ability, achievement and exceptional promise.**

**Objective:** *To enable students of superior ability in the arts, humanities, and social sciences to complete their terminal degree.*

<b>Measure:</b> The percentage of Javits fellows who complete a terminal degree within 7 years.		
<b>Year</b>	<b>Target</b>	<b>Actual</b>
2004	30	30
2005	31	38
2006	31	45
2007	32	
2008	32	
2009	33	

**Assessment of progress:** This measure was revised as part of the PART process and new targets were established at that time. Data collected through annual performance reports is cohort specific, so that data for 2004 performance comes from the cohort of students that first received a fellowship in the 1997-98 academic year. These performance data show that the program had a graduation rate of 45 percent in 2006. The most recent national data compiled by the National Opinion Research Council's Survey of Earned Doctorates indicates that the 7-year graduation rate for doctoral degree recipients during the 2001 to 2002 academic year in the humanities and social sciences was 29 percent. Likewise, a recent study by the Council of Graduate Schools found that 30 percent of humanities students and 40 percent of social science students had completed their doctoral studies after 7 years. The Javits Fellowships program makes its awards to students with high financial need and superior ability. Research shows that these students have a lower graduation rate than the national student body as a whole. As such, achieving a level of performance that is higher than the national average for graduate students in comparable subjects demonstrates that the program is successfully meeting its performance goal. The Department is currently undertaking a comprehensive evaluation of all of the Department's graduate fellowship programs, including the Javits Fellowships program, the results of which will be used to confirm the validity of the annual performance report data.

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### Javits fellowships

<b>Measure:</b> Average time to degree completion for Javits fellows (in years).		
Year	Target	Actual
2004	6.3	6.3
2005	6.3	6.0
2006	6.3	5.6
2007	6.2	
2008	6.2	
2009	6.1	

**Assessment of progress:** This measure was revised as part of the PART process and new targets were established at that time. This measure is an important gauge of program success because research demonstrates that the longer students take to complete graduate studies, the less likely they are to graduate successfully. Data collected through annual performance reports show that the program had an average time to completion of 5.6 years in 2006. Javits fellows pursuing a Masters in Fine Art (MFA) are excluded from this calculation, as MFA programs traditionally take a significantly shorter time to complete and this would significantly skew the results. According to the most recent national data provided by the National Opinion Research Council's annual Survey of Earned Doctorates, in 2005, the median time to complete a doctoral degree in the United States was 9.7 years in the humanities and 8 years in the social sciences. The overall median time for all doctorates was 8.2 years. These data are not directly comparable to the data for the Javits Fellowship program. The Javits Fellowships program makes its awards to students with high financial need. Research shows that these students take longer to complete terminal graduate degrees than the national student body as a whole. As such, achieving a level of performance that is better than the national average for graduate students demonstrates that the program is successfully meeting its performance goal. The Department is currently undertaking a comprehensive evaluation of all of the Department's graduate fellowship programs, including the Javits Fellowships program, the results of which will be used to confirm the validity of the annual performance report data.

### Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as completion of a terminal graduate degree program. This is a new measure created through the PART process and it ties in with program's revised performance measures.

<b>Measure:</b> Cost per terminal degree.	
Year	Actual Performance
2004	\$109,873
2005	\$110,000
2006	\$203,994
2007	\$192,049

The data used to calculate the efficiency measure come from the program's annual performance report, the Department's Grants and Payments database, and the Javits Fellowships program database. As Javits funding is provided for a maximum of 4 years and the average time to completion for students in the Javits fellowship program is more than 6 years, there will always be a time lag of 3 fiscal years between when data are reported and the year for which the data are being reported, so that data for the 2004 measure comes from the cohort of

## HIGHER EDUCATION

### Javits fellowships

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students that first received a fellowship in the 1997-98 academic year. The efficiency measure is calculated by dividing the total dollars allocated to all of the fellows in a particular cohort, during the 4-year funding period, by the number of fellowship recipients from that cohort reported as successfully completing their degree program within 7 years. The efficiency measure for 2007 was \$192,049, which represents a slight decrease over the previous year's data, but a significant increase from the 2004 and 2005 data. The fact that the cohorts of students are relatively small, may contribute to the variability of the data from year to year.

In 2005, the Department completed and posted to the Department's website grantee-level analyses using efficiency measure data and data from other performance measures. Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting, as well as exemplary practices for improving program performance outcomes. Additionally, data from the grantee-level analyses may be used to compare the relative efficiency of the Javits Fellowships program over time as well as in relation to other programs that provide graduate fellowships.

### Other Performance Information

A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on educational and employment outcomes of participants in the Department's graduate fellowship programs, including the Javits Fellowships program. While the final report will not be ready for publication until later in 2007, some initial research has been completed and some preliminary descriptive data are available. In order to be able to examine completion and employment outcomes for Javits fellows, the study tracked the characteristics and progress of three cohorts of Javits fellows, from the years 1997-1999. The preliminary data noted the following characteristics of Javits fellows:

- Just over half (56 percent) of Javits fellows were men;
- The majority (87 percent) of fellows were white, 8 percent were Asian, 3 percent were African-American, and 3 percent were of multiple ethnic backgrounds;
- About 5 percent of the fellows were Hispanic or Latino origin;
- About 40 percent of Javits fellows studied history and letters, 31 percent studied other humanities fields, and 23 percent studied a social science field;
- Nearly all fellows (99 percent) were enrolled full-time;
- The vast majority (93 percent) of fellows first received Javits funding in their first year of graduate study, and for three-quarters of fellows funding ended in their fourth year or after;
- About three-quarters of fellows received additional support from their institutions, 59 percent in equal or lower amounts and 19 percent in amounts greater than the Javits funding; and
- A majority (88 percent) of all fellows received support from at least one source other than the Javits funding, and most (69 percent) received other fellowships or scholarships.

## HIGHER EDUCATION

### Javits fellowships

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The study also investigated the extent to which fellowship recipients completed their doctoral studies and obtained employment in areas that correspond to their fields of study. Of the Javits fellows in the three cohorts studied:

- About two-thirds had completed the degree supported by the Javits fellowship, whereas 20 percent were still enrolled, and 11 percent had stopped working on their degree;
- Slightly over one-half (56 percent) completed their degree in 6 years or more, while 44 percent took 5 years or less;
- In terms of post-degree employment, most (84 percent) of Javits fellows had worked for pay since their fellowship support ended, and three-quarters of fellows had worked in jobs involving the expertise they had gained from the Javits fellowship funding;
- A majority (80 percent) of fellows reported that at least one of their related jobs was in education. Fellows who had taught did so for an average of 3 years; and
- Of the Javits fellows who had worked in a related job, 93 percent considered that work to be part of a long-term career they were pursuing. These fellows reported that they had worked in this career an average of 3 years.

Although these data are only preliminary, they do seem to point to the fact that the overwhelming majority of Javits fellows complete their studies and go on to find employment in areas that correspond to their field of studies.

Finally, the study probed participants' perceptions of the extent to which the fellowship programs influenced their decisions to enter their field of study and remain in their chosen career field. The preliminary data on the self-reported perception of program participants found that:

- Nearly all fellows learned of the Javits fellowship after they had chosen a major field of study to pursue in graduate school;
- One-quarter of fellows reported that the Javits fellowship had some influence on their choice of occupation and career, about two-fifths of fellows reported that the fellowship did not have any influence on their choice; and
- The majority (89 percent) of fellows believed the Javits fellowship had been very helpful in finishing their degrees and about one-half believed the fellowship had been very helpful in obtaining employment in their desired fields.

These preliminary data appear to highlight that fellowship recipients do not perceive that the program influenced their course of studies, but do believe that it was helpful in ensuring that they completed their course of studies and found employment in areas that correspond to their field of studies. A recent national survey by the Council of Graduate Schools found that 80 percent of doctoral completers credited financial support, such as fellowships and grants, as one of the main factors that contributed to their doctoral completion.



## HIGHER EDUCATION

### Javits fellowships

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#### Followup on PART Findings and Recommendations

This program was assessed using the PART in the fiscal year 2004 and the program was rated Adequate. As part of this process, the performance measures were revised and new targets were established. The PART assessment indicated that data collected through annual performance reports show that actual program performance on the revised measures is on track to achieving the program's performance goals pertaining to time-to-degree completion rates and graduation rates.

The PART improvement plan recommendations are presented below, followed by a description of the Department's corrective actions.

- *Develop and implement a strategy for making program performance data accessible to the public in a transparent way.* The Department conducted a grantee-level analysis of the program's performance data and a performance report was posted to the Department's website in late 2005. The report makes available performance data that is both program-wide and disaggregated, to the full extent that privacy concerns would allow.
- *Establish targets for the newly created efficiency measure.* The Department established an efficiency measure for the program and 4 years of data have been collected for the measure. The Department is using the grantee-level analysis of the program's performance data to develop targets for the efficiency measure. The Department expects to complete work on targets by March 2008.
- *Complete the study of the Department's graduate fellowship programs and utilize the results to validate program performance measures and improve program performance.* The study is currently underway. Some preliminary data are already available (as discussed above) and it is expected that the final impact data and analysis will be available early in 2008. Once the study has been published, the Department will work to utilize the results to develop strategies to improve program performance. It is expected that these strategies will be implemented by September 2008.
- *Develop strategies to use efficiency and performance data for program improvement purposes.* The Department is currently analyzing efficiency and performance data in order to develop program improvement strategies. The Department expects to complete this work by September 2008.

## HIGHER EDUCATION

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### Graduate assistance in areas of national need

(Higher Education Act of 1965, Title VII, Part A, Subpart 2)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$29,542	\$32,517	+\$2,975

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

Graduate Assistance in Areas of National Need (GAANN) provides fellowships, through 3-year grants to postsecondary institutions, to graduate students of superior ability and high financial need studying in areas of national need. Non-degree-granting institutions that support doctoral dissertation research and that are in consortia with programs or departments in degree-granting institutions are also eligible to compete for awards. Applicants must set forth policies and procedures to ensure that they will seek talented students from traditionally underrepresented backgrounds. Like Javits Fellows, recipients must have excellent academic records and plan to pursue the highest degree available in their fields.

After consultation with appropriate agencies and organizations, the Department designates those fields of study that are considered "areas of national need" by taking into account the extent to which those areas fulfill a compelling national interest, the extent to which other Federal programs support post-baccalaureate studies in those areas, and the most significant impact that can be made with available resources. The designated areas of national need for fiscal year 2007 were: biology, chemistry, computer and information sciences, engineering, mathematics, nursing, and physics.

Fellowships may be received for up to 5 years of study. Each fellowship consists of a student stipend to cover living costs, and an institutional payment to cover each fellow's tuition and other expenses. The stipend is the lesser of demonstrated need or the level of support provided by the National Science Foundation's Graduate Research Fellowships program. The institutional payment is adjusted annually based on the Consumer Price Index.

Institutions must match 25 percent of the Federal grant amount. The institutional match may be used for the following: to provide additional fellowships to graduate students not already receiving institutional or GAANN fellowships; to meet the cost of tuition, fees, and other instructional costs that are not covered by the institutional payment; and to supplement the stipend received by a fellow in an amount not to exceed the fellow's financial need. Institutions must also provide fellows with at least 1 year of supervised training in pedagogy.

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$30,616
2005.....	30,371
2006.....	30,067
2007.....	30,067
2008.....	29,542

### FY 2009 BUDGET REQUEST

The Administration requests \$32.5 million for the GAANN program for fiscal year 2009, an increase of approximately \$3 million over the appropriation for fiscal year 2008. Of the total increase, \$974,886 would increase the appropriation in line with inflation, or 3.3 percent, in order to arrest the long-term erosion of the program. The remaining \$2 million of the increase would provide funding for a special priority to fund fellowships to address acute shortages in the field of psychometrics that have hampered implementation of certain aspects of the No Child Left Behind (NCLB) Act. The Administration's request would provide support for 747 fellowships in fiscal year 2009.

In spite of the positive performance outcomes and an Adequate PART rating, since fiscal year 2000, the number of fellowships awarded through the program has decreased significantly. Since 2000, the appropriation for the GAANN program has decreased slightly, due to the across-the-board reductions in fiscal years 2003 and 2004. However, throughout the same period, stipend levels (that are statutorily tied to National Science Foundation (NSF) graduate stipends) have increased sharply. This has resulted in a 42 percent decline in the number of graduate fellowships offered since the year 2000; down from 1,211 in 2000 to 702 in 2007. Each year the stipend is aligned with the NSF graduate fellowships and the institutional payment is increased in line with inflation, which was 3.3 percent in fiscal year 2007. Therefore, a portion of the requested increase would increase the appropriation in line with the rate of inflation in order to reverse the long-term decrease in the number of fellowships that the program is able to provide.

With NCLB requiring systematic student testing, the Nation faces a critical shortage of individuals with the skills to create standardized tests and analyze the results. These experts are needed in virtually every aspect of the testing process, from deciding which tests are most appropriate to measure certain skill-sets, to developing tests and analyzing their results. Even though the work of these experts, who are trained in statistics and measurement theory and are known as psychometricians, is critical to implementing standardized tests, only a handful of them enter the workforce each year. Research shows that between 1995 and 2003 less than one dozen students graduated nationally with doctoral degrees in psychometrics, with no more than 35 doctoral degrees being awarded annually in the related field of statistics, testing and education measurement. This shortage has severely hampered implementation of key elements of standards-based accountability systems embedded in NCLB. The fiscal year 2009 request would provide \$2 million for a special priority to provide up to 35 additional fellowships annually in the field of psychometrics.

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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Through its support of study in key disciplines, GAANN helps address the problem of insufficient numbers of students pursuing education in critical scientific and technical fields. GAANN provides students with exceptional promise and high financial need with the resources that they need to pursue post-graduate studies. This request recognizes the role that graduate education plays in contributing to the advancement of national prosperity, particularly in areas of national need, and demonstrates the Administration's commitment to outstanding achievement and a high quality education. In fiscal year 2009, the Administration is proposing to add professional science or engineering master's degrees to the list of designated areas of national need. These specialized terminal degrees are highly successful in preparing science, mathematics, engineering, and technology students for the demands of modern industry and are key to meeting current and anticipated worker shortages in the high tech industry.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new awards	62	0	107
Number of new fellowships	218	0	529
Average new award	\$150	0	\$212
Total new award funding	\$9,293	0	\$22,773
Number of NCC awards	116	165	62
Number of NCC fellowships	484	702	218
Average NCC award	\$178	\$169	\$152
Total NCC funding	\$20,631	\$29,542	\$9,426
Average institution payment	\$13	\$12	\$13
Average stipend	<u>\$30</u>	<u>\$30</u>	<u>\$30</u>
Total average fellowship	\$43	\$42	\$43
Peer review of new award applications	\$143	0	\$318
Total program funding	\$30,067	\$29,542	\$32,517
Total number of awards	178	178	169
Total number of fellowships	702	702	747

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in fiscal

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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year 2009 and future years, and the resources and efforts invested by those served by this program.

#### **Goal: To increase the number of persons trained at the highest academic level**

**Objective:** *To increase the number of students of superior academic ability completing the terminal degree in designated areas of national need in order to alleviate that need.*

**Measure:** The percentage of GAANN fellows completing the terminal degree in the designated areas of national need.

Year	Target	Actual
2004		51.0
2005		49.0
2006	45	49.6
2007	46	
2008	47	
2009	48	

**Assessment of progress:** The data used to calculate this performance measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The measure is calculated by dividing the number of GAANN fellows in the last year of their fellowships that have successfully completed their doctoral studies by the total number of GAANN fellows who are in the last year of their fellowships. However, as grant funding only lasts 3 years and most doctoral students take 6-7 years to complete their doctoral programs, advancing to candidacy is used as a proxy for degree completion where appropriate. For example, in 2006, 33.7 percent of the fellows who were successful had advanced to candidacy and 15.9 percent had completed degrees. Use of such proxy data may inflate the performance data, as not all doctoral candidates who advance to candidacy actually complete their doctoral degrees.

The National Research Council's (NRC) most recent annual Survey of Earned Doctorates shows the national average graduation rate for doctoral recipients in the sciences at 28 percent. While the GAANN data are not directly comparable to the data collected for this performance measure because we do not have actual graduation data for GAANN, the NRC data do provide some context. In addition, research shows that students with high financial need, such as those served by GAANN, have a lower graduation rate than the national student body as a whole. The Department is currently undertaking a comprehensive evaluation of all of the Department's graduate fellowship programs, including the GAANN program, the results of which will be used to confirm the validity of the annual performance report data. It is expected that the 2007 data will be available in June 2008.

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### Graduate assistance in areas of national need

<b>Measure:</b> Average time to completion.		
Year	Target	Actual
2004		5.92
2005	6.45	5.30
2006	7.00	5.20
2007	5.90	
2008	5.90	
2009	5.90	

**Assessment of progress:** This measure is an important gauge of program success because research demonstrates that the longer students take to complete graduate studies the less likely they are to graduate successfully. Data collected through annual performance reports show that the program has median time to completion of 5.2 years for 2006. According to the most recent national data provided by the NRC's annual Survey of Earned Doctorates, the median time to degree completion for all graduate programs in the United States was 8.2 years in 2005. In 2005, the average time to completion was 6.7 years for the physical sciences, 7.2 years for engineering, and 7.1 years for life sciences. The GAANN fellowships go to students with high financial need and superior ability. Research shows that these students take longer to complete terminal graduate degrees than the national student body as a whole. As such, achieving a level of performance that is better than the national average for graduate students demonstrates that the program is successfully meeting its performance goal. Additionally, the Department is currently undertaking a comprehensive evaluation of all of the Department's graduate fellowship programs, including the GAANN program, the results of which will be used to confirm the validity of the annual performance report data. It is expected that the 2007 data will be available in June 2008.

### Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as terminal graduate program completion. This is a new measure created through the PART process and it ties in with the program's revised performance measures.

<b>Measure:</b> Cost per PhDs and those who pass preliminary exams.		
Year	Target	Actual
2002		\$92,557
2003		\$127,514
2005		\$70,359
2006	\$127,500	\$70,894
2008	\$92,000	
2009	\$91,000	

The data used to calculate the efficiency measure come from the program's final performance reports, the Department's Grants and Payments database, and the GAANN program database. The efficiency measure is calculated by dividing the total amount of Federal funds provided to support a cohort of fellows for the 3 years of the grant period by the number of GAANN fellows who complete their degree or successfully advance to candidacy during the 5-year grant project period. For example, the cost reported for 2006 was derived by dividing the total Federal funding for the 2001 cohort, which is \$38,566,582, by the total number of fellows who either

## HIGHER EDUCATION

### Graduate assistance in areas of national need

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completed their degree or pass preliminary exams by 2006, which is 544, for an efficiency measure of \$70,894. Under the program's funding structure, no new awards are made every third year, which is why there are no data or targets for 2004 and 2007. As the efficiency measure is based on data from a relatively small number of students, significant year-to-year fluctuations could be expected. This may reduce the usefulness of the measure at the program level.

The efficiency measure data, along with data from other performance measures, were part of grantee-level analyses that the Department posted to its website this year (<http://www.ed.gov/programs/gaann/performance.html>). Grantee-level data analyses will be used to identify institutions that may benefit from technical training in areas such as data collection and reporting. It may also be used to identify high performers that other grantees may look to as examples for improving program performance outcomes. Additionally, data from the grantee-level analyses may be used to compare the relative efficiency of the GAANN program over time, as well as in relation to other programs that provide graduate fellowships.

### Other Performance Information

A study of the Department's graduate fellowship programs was initiated in 2004. The study was designed to provide information on educational and employment outcomes of participants in the Department's graduate fellowship programs, including the GAANN program. While the final report will not be ready for publication until early in 2008, some preliminary descriptive data are available. In order to be able to examine completion and employment outcomes for GAANN fellows, the study tracked the characteristics and progress of two cohorts of GAANN fellows, from the years 1997-1998. The preliminary data available indicate:

- About 60 percent of GAANN fellows were men;
- The majority of GAANN fellows were white (83 percent), 8 percent were Asian, 7 percent were African-American, and about 2 percent were of multiple racial/ethnic backgrounds;
- About 4 percent of fellows were of Hispanic or Latino origin;
- About 19 percent of fellows studied in biological sciences or physics, 18 percent in engineering or mathematics, 14 percent in chemistry, 8 percent in computer and information science, and about 3 percent in other physical science fields;
- The majority (76 percent) of fellows first received GAANN funding in their first year of graduate study. Nineteen percent reported that their funding ended their first year of graduate study, 24 percent their second year, 23 percent their third year, and 34 percent in the fourth year; and
- Slightly over three-quarters of fellows received additional funding from their institutions; 45 percent in equal or lower amounts and the remaining in amounts greater than the GAANN funding.

The study also investigated the extent to which fellowship recipients completed their doctoral studies and obtained employment in areas that correspond to their fields of study. Of the GAANN fellows in the two cohorts studied:

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### Graduate assistance in areas of national need

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- About three-quarters (78 percent) had completed the degree supported by the GAANN fellowship. In addition, another 9 percent were still pursuing these degrees, and 13 percent had stopped working on them;
- About 21 percent of GAANN fellows completed their degree in 4 years, about 27 percent completed in 5 years, 26 percent completed in 6 years, and 27 completed in more than 6 years;
- Students who first received GAANN funding during their first year were considerably more likely than those who first received funding after their first year in the program to complete their degree within 4 years;
- Nearly all GAANN fellows had worked for pay (93 percent) since their fellowship support ended, and by the time of the study they had worked in an average of 3 jobs;
- Chemistry and physics majors were less likely than fellows who majored in other subjects to begin working within a year of completing the fellowship;
- A majority of fellows (88 percent) had worked in jobs involving the expertise they had gained from the fellowship in the years since they last received GAANN funding;
- More than one-half (65 percent) of fellows reported that at least one of their related jobs was in education. Fellows who had taught did so for an average of 3 years, and 96 percent reported that at least one of their teaching jobs was related to the field of study supported by the GAANN fellowship; and
- Of the GAANN fellows who had worked in a related job, 96 percent reported that work was part of a career they were pursuing. When fellows were asked what they expected to be doing in the next 3 years, the majority (88 percent) reported they planned to be working in a job related to the expertise they gained with fellowship support.

Although these data are only preliminary, they do seem to point to the fact that the majority of GAANN fellows complete their studies and go on to find employment in areas that correspond to their field of studies.

Finally, the study probed participants' perceptions of the extent to which the fellowship programs influenced their decisions to enter their field of study and remain in their chosen career field. The preliminary data on the self-reported perception of program participants found that:

- Nearly all fellows only learned of the GAANN fellowship after they had chosen a major field of study to pursue in graduate school;
- Whereas slightly over one-quarter reported that it had some influence on their occupation/career choice, about 44 percent of fellows reported that the fellowship did not have any influence on this choice; and



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### Graduate assistance in areas of national need

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- The majority of fellows believed that the GAANN fellowship had been very helpful in finishing their degree, and 57 percent believed it was somewhat helpful in obtaining employment in their desired field.

These preliminary data appear to highlight that fellowship recipients do not perceive that the program influenced their course of studies, but do believe that it was helpful in ensuring that they completed their course of studies and found employment in areas that correspond to their field of studies.

### Followup on PART Findings and Recommendations

This program underwent the PART assessment in fiscal year 2004 and the program received an initial rating of Results Not Demonstrated based on the inconclusive, partial data that was available at the time. During the PART process, the program's performance measures were revised, an efficiency measure was created, and new targets were established for the revised performance measures. The PART assessment noted that the Department is currently undertaking a comprehensive evaluation of all of the Department's graduate fellowship programs, including the GAANN program, the results of which will be used to confirm the validity of the performance report data and the revised performance measures.

In fiscal year 2006, the GAANN program was reassessed and received an upgraded rating of Adequate. The reassessment noted that improvements were made in the management of the program and the reassessment gave the Department credit for improving the collection, use, and availability to the public of credible performance information. It also noted that the Department made improvements to the way it holds program managers accountable for program performance outcomes. Finally, the reassessment noted that since the time of the initial PART assessment, complete performance data have become available for multiple years that demonstrate that program performance is on track to exceed the long-term and annual performance targets.

The PART improvement plan recommendations are presented below, followed by a description of the Department's corrective actions.

- *Complete the study of the Department's graduate fellowship programs and utilize the results to validate program performance measures and improve program performance.* The study is currently underway. Some preliminary data are already available (as discussed above) and it is expected that the final impact data and analysis will be available early in 2008. Once the study has been published, the Department will work to utilize the results to develop strategies to improve program performance. It is expected that these strategies will be implemented by September 2008.
- *Review and revise program managers' performance agreements to ensure that managers are held accountable for achieving key program results.* The Department is currently working with the program to revise the necessary performance agreements. It is expected that this process will be complete by June 2008.

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### **Graduate assistance in areas of national need**

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- *Establish a strategy to track program performance after expiration of the grant period.* The Department is currently developing a strategy to track program performance after expiration of grant period. It is expected that this process will be completed by the end of 2008.

## HIGHER EDUCATION

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**Thurgood Marshall legal educational opportunity program**  
 (Higher Education Act of 1965, Title VII, Part A, Subpart 3)

FY 2009 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$2,895	0	-\$2,895

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<sup>1</sup>The authorization will expire on March 31, 2008; reauthorizing legislation is not sought.

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### PROGRAM DESCRIPTION

The Thurgood Marshall Legal Educational Opportunity program is designed to provide minority, low-income or disadvantaged college students with the information, preparation, and financial assistance needed to gain access to and complete law school study.

The authorizing legislation earmarks funds to the Council on Legal Education Opportunity (CLEO) for a period of not less than 5 years to administer this program. CLEO's responsibility is to identify college students who are from low-income families, are minorities, or are from disadvantaged backgrounds; prepare these students for study at accredited law schools; assist students to select an appropriate law school and make application for entry into law school, and provide financial assistance for their study. In addition, CLEO provides support services to first-year law students to improve retention and success in law school studies, and motivate and prepare students for law school studies and practice in low-income communities.

Funding for this program may be used to pay for services such as: information and counseling, tutorial services, pre-law mentoring programs, assistance and counseling on admission to accredited law schools, a 6-week summer law institute for Thurgood Marshall Fellows to prepare for legal studies, and mid-year seminars and other educational activities. These services may be provided prior to the period of law school study; during the period of law school study; and during the period following law school study and prior to taking a bar examination. Funds may also pay student stipends, including allowances for travel, for participants and for their dependents.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	0
2005.....	\$2,976
2006.....	2,946
2007.....	2,946
2008.....	2,895

## HIGHER EDUCATION

### Thurgood Marshall legal educational opportunity program

#### FY 2009 BUDGET REQUEST

The Administration is not proposing funding for the Thurgood Marshall Legal Educational Opportunity program for fiscal year 2009, in keeping with its policy to eliminate narrow-purpose, non-competitive programs. Assistance would continue to be available to disadvantaged individuals through the Department's student financial assistance programs.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of Thurgood Marshall Fellows	145	145	0
Number of mid-year seminar participants	1,000	1,000	0
Total program funding	\$2,946	\$2,895	0

#### PROGRAM PERFORMANCE INFORMATION

##### **Performance Measures**

The Department has developed three draft measures for this program that are under consideration—(1) the percentage of 6-Week Summer Institute and Achieving Success in the Application Process participants who graduate from law school within four years; (2) the percentage of 6-Week Summer Institute and Achieving Success in the Application Process participants who pass the bar exam within one year of law school graduation; and (3) the Federal cost per 6-Week Summer Institute and Achieving Success in the Application Process participant who passes the bar exam within one year of law school graduation. Once the Department receives baseline data for these measures, targets will be established. Data for these measures will be derived from the Thurgood Marshall annual performance report.

##### **Other Performance Information**

In fiscal year 2007, CLEO's program performance report included:

- Identifying 1,650 college students (freshman, sophomores, or juniors) who are interested in receiving more information about programs that facilitate admission into and success once entering law school. Students were identified through a combination of college campus visits by the CLEO Pre-Law Coordinator, responses to promotional materials distributed by CLEO, on-campus marketing campaigns, public service announcements, information provided in the *CLEO Edge* magazine, visits to the CLEO website—<http://cleoscholars.com>, and the distribution of CLEO paraphernalia which advertised the College Scholars program. The program exceeded its projected goal by identifying 2,669 students, or over 160 percent of the projected goal.
- Providing 165 College Scholars with assistance in identifying preparatory courses and materials for the law school admission test (LSAT). College Scholars benefit from various

## HIGHER EDUCATION

### Thurgood Marshall legal educational opportunity program

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pre-law seminars such as the Road to Law School, Sophomore Super Saturdays, and Junior Jumpstart the LSAT. The program assisted 349 College Scholars, more than doubling its projected goal.

- Identifying and enrolling 24 College Scholars in the Sophomore Summer Institute, a 4-week comprehensive sophomore summer program. At the Sophomore Summer Institute, scholars are introduced to the rigors and requirements of law school, increasing their chances of being admitted to law school. The program met its projected goal by enrolling 24 College Scholars.
- Selecting and preparing at least 80 qualified participants for successful law school study by enrolling them in an intensive 6-week, pre-law Summer Institute that emphasizes abstract thinking, legal analysis, and writing. Summer Institute participants must be graduating seniors or graduates who plan to attend law school. The program fell short of its projected goal by enrolling 76 participants of which 72 went on to successfully complete the CLEO Summer Institute program and were certified as CLEO/Thurgood Marshall Fellows. This makes them eligible to receive law school placement assistance and enroll in law school at the conclusion of the program. All of the students who successfully completed the Summer Institute enrolled in ABA-accredited law schools and 71 of them applied for and received financial assistance awards, academic counseling, and other support services.
- Certifying 145 second- and third-year Thurgood Marshall Fellows for eligibility for financial assistance and other support services to gain access to and complete law school study. The program certified 137 CLEO/Thurgood Marshall Fellows, representing 94 percent of the program's projected goal. (To be re-certified as a Thurgood Marshall Fellow, each year a student must provide proof of good standing at his respective law school, re-submit financial assistance forms, and attend Thurgood Marshall Program's mandatory seminars and workshops.)
- Providing financial assistance of up to \$5,000 and other law school support services for 145 CLEO/Thurgood Marshall Fellows. The program provided financial assistance awards to 104 CLEO/Thurgood Marshall Fellows and provided other support services to 137 CLEO/Thurgood Marshall Fellows, to help them gain access to and successfully matriculate through law school.
- Certifying 600 Thurgood Marshall Attitude is Essential Program participants (Thurgood Marshall Associates) for eligibility to participate in and receive continuing academic support services throughout law school study. The program exceeded this goal by certifying 608 Thurgood Marshall Associates. Thurgood Marshall Associates are graduates who successfully complete the Attitude is Essential seminars and enroll in a law school that has been accredited by the American Bar Association.
- Conducting two mid-year seminars and other educational activities for Thurgood Marshall Fellows and Associates during their period of law school study to improve retention, graduation, and bar passage rates. CLEO conducted a Mid-Winter Academic Seminar, a Mid-Summer Professional Development Seminar, and other educational activities. The program's goal was 1,000 seminar participants; 926 Fellows and Associates participated in the seminars.

## HIGHER EDUCATION

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### **B.J. Stupak Olympic scholarships**

(Higher Education Amendments of 1992, Section 1543)

FY 2009 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s)

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$953	0	-\$970

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is not sought.

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### PROGRAM DESCRIPTION

The B.J. Stupak Olympic Scholarships program provides financial assistance to athletes who are training at the United States Olympic Education Center or one of the United States Olympic Training Centers and who are pursuing a postsecondary education at an institution of higher education. Any Olympic athlete who is training at one of the four official Olympic training centers and is enrolled in a minimum of three credit hours of postsecondary education per semester is eligible to receive a scholarship under this program. Full-time and part-time undergraduate and graduate students are eligible for scholarships in amounts up to their cost of attendance. The scholarships are capped at \$15,000 and can cover the cost of tuition, books and supplies, room and board, travel, and sporting equipment. Athletes may receive scholarships in amounts sufficient to cover these costs without subtracting expected family contributions. The four official Olympic training centers are located in Marquette, Michigan; Colorado Springs, Colorado; Chula Vista, California; and Lake Placid, New York.

The program is managed by the U.S. Olympic Committee, which started making scholarships in fiscal year 2002. In academic year 2006-2007, the program provided scholarships to 122 undergraduate students, of which 70 were male and 52 female. Scholarships went to student athletes who participated in the Olympic sports of track and field, kayaking, archery, judo, shooting, speedskating, wrestling, weightlifting, boxing, and biathlon. In academic year 2006-2007, scholarship recipients were enrolled at 15 different institutions of higher education, of which 12 were 4-year institutions. Because the program is relatively new, the majority of Stupak athletes are currently training for the 2008 Olympics. However, 20 Stupak athletes competed in the 2004 Summer Olympics and 9 Stupak athletes competed in the 2006 Winter Olympics, including Shani Davis, who won a gold medal in 1,000 meter speed skating and a silver in the 1,500 meter speed skating. In addition, 32 Stupak athletes represented the United States at World championship competitions during the past 2 years.

## HIGHER EDUCATION

### B.J. Stupak Olympic scholarships

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$988
2005.....	980
2006.....	970
2007.....	970
2008.....	953

### FY 2009 BUDGET REQUEST

For fiscal year 2009, the Administration is requesting no funding for the B.J. Stupak Olympic Scholarships program. The Administration believes that funding for this program is unnecessary because it duplicates other Federal programs including the Federal student financial assistance programs. The Administration's budget request for other Federal student financial assistance programs demonstrates its commitment to ensuring that all Americans have access to and financial assistance for lifelong learning.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of awards	1	1	0
Total program funding	\$970	\$953	0
Total number of scholarships	122	119	0

### PROGRAM PERFORMANCE INFORMATION

#### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years, and the resources and efforts invested by those served by this program.

**Goal: To support Olympic athletes who are pursuing a postsecondary education at an institution of higher education.**

*Objective: Olympic athletes will successfully complete postsecondary education programs.*

## HIGHER EDUCATION

### B.J. Stupak Olympic scholarships

<b>Measure:</b> The percentage of Stupak scholarship recipients in their senior year of study that graduate.		
Year	Targets	Actual
2006		53.0
2007		76.0

**Assessment of progress:** The performance measure is the graduation rate for Stupak scholarship recipients. This is a new measure created through the PART process. The Department worked with the grantee to modify the annual performance report to support the new measures. The program has not yet established targets for this measure. With very small cohorts of scholarship recipients, it is thought that performance on this measure may be volatile, with significant fluctuations reflecting the actions of a small number of students.

**Objective:** *Olympic athletes will successfully persist from one school year to the next.*

<b>Measure:</b> The percentage of Stupak scholarship recipients who persist in their postsecondary institution.		
Year	Targets	Actual
2005		71.0
2006		52.0
2007	72.0	58.0
2008	72.5	

**Assessment of progress:** The performance measure is the persistence for Stupak scholarship recipients. This is a new measure created through the PART process. The Department worked with the grantee to modify the existing annual performance report to support the new measures. Data from the revised annual performance report shows a persistence rate of 58 percent for fiscal year 2007. This represents a slight increase over the 2006 rate, but a significant decrease from the rate for 2005. With very small cohorts of scholarship recipients, it is thought that performance on this measure may be volatile, with significant fluctuations reflecting the actions of a small number of students. Note that students who retire from their sport or no longer qualify as a resident athlete at an Olympic Training Center would be tracked as not persisting according to this measure, even though they may continue postsecondary education at a different institution. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

### Efficiency Measures

<b>Measure:</b> The cost of a successful outcome: the Federal cost for each Stupak scholarship recipient that persists in school or graduates.	
Year	Actual
2005	\$12,668
2006	\$10,770

The efficiency measure for this program is the cost of a successful outcome, where success is defined as persistence or graduation at a postsecondary institution. This is a new measure created through the PART process and it ties in with the program's performance measures.

The data used to calculate the efficiency measure come from the program's annual performance report. The efficiency measure is calculated by dividing the annual appropriation



## HIGHER EDUCATION

### B.J. Stupak Olympic scholarships

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for that year by the number of scholarship recipients that either graduate or persist in that year. These data will assist program management to assess the relative efficiency of the program over time and eventually may also allow program managers to compare relative efficiency among the four Olympic training centers. As such, these data could assist in program management and in improving program oversight and could be used to focus technical assistance efforts where they can be most effective,

#### **Followup on PART Findings and Recommendations**

This program underwent a PART assessment in 2006 and received a rating of Results Not Demonstrated. This rating was due to the fact that data were not available to support the program's performance measures and demonstrate program performance.

The PART assessment identified major design deficiencies that limit the program's effectiveness or efficiency. The PART assessment found that the program is duplicative of other Federal student financial assistance programs. The PART assessment noted that, in conjunction with the vast amount of financial aid available through public and private institutions and foundations, Federal student financial assistance programs offer Olympic athletes the opportunity to pursue a postsecondary education. The PART assessment also noted that as a result of the statutory structure of the program, funding is awarded to one specified grantee without regard to performance and there are only very minimal provisions to ensure that a high level of performance is maintained. As a result, the PART assessment concluded that there is very little incentive for the grantee to improve outcomes or collect meaningful performance data.

The PART improvement plan recommendations are presented below, followed by a description of the Department's corrective actions.

- *Establish targets for the program's annual and long-term performance measures.* Targets have been established for one of the two performance measures. The Department is working to develop targets for the second performance measure as well as the efficiency measure and it is expected that this work will be completed by the end of March 2008.
- *Develop and implement a strategy for making program performance data accessible to the public in a transparent way.* The Department is working to make performance data from the annual report available to the public through the Department's website and it is expected that this work will be completed by the end of fiscal year 2008.

## HIGHER EDUCATION

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### Child care access means parents in school

(Higher Education Act of 1965, Title IV, Part A, Subpart 7)

FY 2009 Authorization (\$000s): To be determined<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$15,534	\$15,534	0

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is sought.

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### PROGRAM DESCRIPTION

The Child Care Access Means Parents in School (CCAMPIS) program is designed to support the participation of low-income parents in postsecondary education through campus-based child care services. Under this program, discretionary grants of up to 4 years in duration are awarded competitively to institutions of higher education. Priority is given to child care programs that (1) leverage significant local or institutional resources and (2) utilize a sliding fee scale.

Institutions may use the funding to support or establish a campus-based child care program primarily serving the needs of low-income students enrolled at the institution. Grants may also be used to provide before and after school services. The authorizing statute defines a “low income student” as a student eligible to receive a Pell Grant during the year of enrollment at the institution. Grants are only to be used to supplement existing child care services or start a new program. Funds may not be used for grants that supplant funds for current child care services.

An institution is eligible to receive a grant for a fiscal year if the total amount of Pell Grant funds awarded to students at the institution for the preceding fiscal year equals or exceeds \$350,000. The maximum grant award cannot exceed 1 percent of the total amount of all Pell Grant funds awarded to students enrolled at the institution during the preceding fiscal year. The minimum grant amount is \$10,000. Institutions are required to submit reports 18 and 36 months after receiving the first grant payment. An institution receives the third annual grant payment only if the Department determines, on the basis of the 18-month report, that the institution is making a good faith effort to ensure that low-income students have access to affordable, quality child care services.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$16,099
2005.....	15,970
2006.....	15,810
2007.....	15,810
2008.....	15,534

## HIGHER EDUCATION

### Child care access means parents in school

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#### FY 2009 BUDGET REQUEST

The Administration requests \$15.5 million for the CCAMPIS program, the same as the 2008 level. Funding this program continues to address the needs of low-income parents in postsecondary education for campus-based child care services. Obtaining postsecondary education is critical to meeting the needs of an increasingly technical workplace. However, a lack of convenient and affordable quality child care services may prevent low-income parents from pursuing postsecondary education. The CCAMPIS program helps to ensure that low-income student parents have access to postsecondary education and affordable and convenient child care.

Data from NCES institutional surveys reveal that only 1,259 of the 6,793 institutions, or 18.5 percent, had on-campus child care available in academic year 2005-2006. According to National Center for Education Statistics, in 1995, less than 2 percent of first-time postsecondary students who had children completed a bachelor's degree within 4 years compared with 19 percent of students who did not have children. Data from the National Postsecondary Student Aid Survey show that about 40 percent of students with dependent children failed to persist or graduate in 2003-2004 compared to 27 percent of students without dependent children. In comparison to the 65 percent of students without dependent children who were enrolled mostly full-time, only 39 percent of students with dependent children were enrolled full-time. These data suggest that many low-income student-parents face a myriad of challenges that inhibit their ability to persist in and graduate from college. Evidence suggests a lack of affordable, stable, good-quality child care may be part of the problem.

Fiscal year 2009 funding maintains support to enable institutions to continue to support or establish campus-based child care programs; establish emergency back-up care and provide summer child care and before and after school services; provide child care tuition assistance and set sliding fee scales for the cost of child care services; and establish programs serving the needs of student parents. The Administration supports changes to the program included in the pending Higher Education Act reauthorization bills that would increase the minimum grant provided and decrease the institutional eligibility cap on funding so that more institutions would be eligible to apply for funding under the program.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new awards	0	0	113
Average new award	0	0	\$90
Total new award funding	0	0	\$10,214
Number of NCC awards	170	170	55
Average NCC award	\$93	\$91	\$94
Total NCC award funding	\$15,810	\$15,534	\$5,165

## HIGHER EDUCATION

### Child care access means parents in school

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Peer review of new awards applications	0	0	\$155
Total award funding	\$15,810	\$15,534	\$15,534
Total number of awards	170	170	168

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and those requested in FY 2009 and future years, and the resources and efforts invested by those served by this program.

**Goal: To support the participation of low-income parents in the postsecondary education system through the provision of campus-based child care services.**

**Objective:** *Increase access for low-income parents to postsecondary institutions.*

**Measure:** The percentage of CCAMPIS program participants receiving child care services who remain in postsecondary education at the end of the academic year as reported in the program performance report.

Year	Target		Actual	
	18-month report	36-month report	18-month report	36-month report
2004	64.0	79.5	66.0	74.0
2005		80.0		67.0
2007	65.0		74.0	
2008	65.5	81.0		
2009		81.5		

**Measure:** The graduation rate of CCAMPIS program participants in postsecondary education, in other than 4-year schools, as reported in the program performance report.

Year	Target		Actual	
	18-month report	36-month report	18-month report	36-month report
2004	17.5	22.5	18.0	30.0
2005		23.0		24.0
2007	18.0		17.0	
2008	18.5	23.5		
2009		24.0		

**Assessment of progress:** Performance data for these measures are collected through 18- and 36-month Performance Reports. Although data from the 36-month report are more

## HIGHER EDUCATION

### Child care access means parents in school

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meaningful for reporting persistence, data are also presented from 18-month reports. This enables nearly regular annual reporting on program activity. Targets were not established for 2006 because the Department will not receive data in 2006 due in large part to the statute-driven cycle of 18- and 36-month performance reports. The Department did not conduct competitions for new awards in fiscal years 2003 and 2004; those years would have yielded 2006 data.

The Department revised the grant application and the data collection tool to incorporate new performance measures in March 2007. The new performance report was used by grantees from the fiscal year 2005 competition. Analysis of the 18-month performance reports on program participants from the 2005 grant competition indicated that 74 percent, or 4,170, out of 5,635 student parents, persisted or remained enrolled for at least 1 year at their institution. The program exceeded the target set for 2007. Due to the timing of the data collection for completion—at 18- and 36-months—students attending 4-year institutions and those who enter the program in the later years of the grant would not be able to complete their education before data are collected for the final 36-month report. Therefore, to improve the quality and interpretability of the data used to measure completion, data are collected only from grantees with 2-year programs. For completion, of the 114 respondents, 59 were 2-year schools serving 2,829 student parents. Data show that 17 percent, or 481 student parents, completed their program of study within three years. Performance in 2007 fell short of the program's goal for completion.

The 36-month performance reports received in 2004 provide data on program participants from the 2001 grant competition. The 219 respondents (out of an initial 222 grantees) that reported data on persistence indicated that 74 percent, or 10,305 out of 13,857 student parents, persisted, or remained enrolled for at least 1 year at their institution. Program performance for 2004 fell short of the program's goal. For completion, of the 219 respondents, 119 were 2-year schools serving 8,249 student parents. Data show that 30 percent, or 2,471 student parents, completed their program of study. The program exceeded the target set for 2004.

The 36-month performance reports received in 2005 provide data on program participants from the 2002 grant competition. The 84 respondents (out of an initial 122 grantees) that reported data on persistence indicated that 67 percent, or 4,289 out of 6,401 student parents, persisted, or remained enrolled for at least 1 year at their institution. For completion, of the 84 respondents, 51 were 2-year schools serving 4,402 student parents. Data show that 24 percent, or 1,038 student parents, completed their program of study, exceeding the target of 23 percent set for 2005.

### Efficiency Measures

**Measure:** Federal cost per CCAMPIS student who persists in or graduates from an institution of higher education as reported in the 36-month performance report.

Year	Target	Actual
2004		\$1,821
2005		\$2,105
2008	\$2,055	
2009	\$2,049	

## HIGHER EDUCATION

### **Child care access means parents in school**

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**Assessment of progress:** The efficiency measure tracks student cost per successful outcome. This is achieved by dividing the funding amount by the number of students receiving CCAMPIS services who persist in or graduate from a CCAMPIS grantee institution during that specific school year for those grantees that submitted complete annual performance reports. The 36-month performance reports received in 2004 provide data on program participants who received a grant in 2001 and the new and continuation funding associated with the grant. Data for fiscal year 2008 based on 36-month reports from fiscal year 2005 grantees will be available in July 2009. Data will not be available for fiscal years 2006 and 2007 as there were no competitions in 2003 and 2004. The targets were established by increasing the cost per student by 1 percent for each reporting period and increasing the success rate by 1 percentage point for each reporting period. Grantee-level data will be used to identify ways to achieve improved program performance outcomes and efficiencies.

### **Other Performance Information**

The Department is conducting a study to assess the availability of and need for child care services at institutions of higher education. The main objectives of the study are to describe and document the types and amounts of child care services being provided; to compare child care programs at institutions with CCAMPIS grants and eligible institutions without CCAMPIS grants; and to determine institutional perceptions of how child care services on these campuses contribute to student outcomes. Deliverables include an analysis of performance reports, institutional survey results, a design for a student survey, and a literature review. Results from the study are expected to be available in 2008.

### **Followup on PART Findings and Recommendations**

A PART assessment for the CCAMPIS program was conducted in 2004. A rating of Results Not Demonstrated was assigned due in large part to several design flaws that limit program effectiveness or efficiency. During the PART process, alterations and additions were made to the program's performance measures and targets.

In fiscal year 2007, the CCAMPIS program was reassessed. The reassessment gave the Department credit for ensuring that all partners commit to and work toward the annual and/or long-term goals of the program and improving the collection, use, and availability to the public of credible performance information. It also noted that the Department has made improvements to the way it holds program managers accountable for program performance outcomes. Finally, the reassessment noted that since the time of the initial PART assessment, complete performance data on the new program performance measures have become available for multiple years that demonstrate that program performance is on track for a number of its long-term targets. In light of the improvements in performance, the program's PART rating was upgraded to Adequate.

The PART improvement plan recommendations are presented below, followed by a description of the Department's corrective actions.

- *Ensure the reliability of data and use it to improve program effectiveness.* Data are supplied by grantee institutions that attest to the accuracy of the data. The Department revised the grant application and the data collection tool to incorporate the new performance measures

## HIGHER EDUCATION

### Child care access means parents in school

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in March 2007. The program performance report is tailored to collect retention and graduation rates by cohort and includes instructions on how to complete the cohort tables to reflect the most accurate information. The Department will continue to improve program effectiveness by further improving data reliability. The Department will make additional revisions to the grant application and the data collection tool to address questions raised by grantees on performance measurement by March 2009.

- *Work with Congress to remove legal barriers to collecting data annually.* The program statute limits collection of performance data to reports submitted 18 and 36 months after the institution receives the first grant payment. This provision is inconsistent with the Department's common practice of obtaining annual data to measure program performance. This requirement limits the availability of performance information and complicates its presentation. The Department will continue to work with congressional staff on needed program changes as appropriate during the reauthorization of the Higher Education Act.
- *Use the findings of an upcoming study and efficiency measure data to target technical assistance.* The Department defined the study details and the contract was awarded in September 2005. The Department is monitoring progress of the study that is now in the data collection phase. The pre-test for the institutional survey revealed that, in the majority of institutions surveyed, the CCAMPIS child care center could not provide data on the number of Pell Grant recipients using child care services and recipients' persistence or graduation status. The Department is exploring other options, including using NCES/IPEDS data. The study results are expected to be available in August 2008.

## HIGHER EDUCATION

### Teachers for a competitive tomorrow

(America COMPETES Act of 2007, Subtitle A, Part I)

FY 2009 Authorization (\$000s): Indefinite

Budget Authority (\$000s)

	<u>2008</u>	<u>2009</u>	<u>Change</u>
Baccalaureate STEM and foreign language teacher training	\$983	0	-\$983
Masters STEM and foreign language teacher training	<u>983</u>	<u>0</u>	<u>- 983</u>
	1,966	0	-1,966

### PROGRAM DESCRIPTION

The Teachers for a Competitive Tomorrow program is designed to enhance and improve teachers' content knowledge by funding the development of master's and baccalaureate level degree programs that provide integrated courses of study in science, technology, engineering, mathematics (STEM), or critical foreign languages, and teacher education. The program requires that grantees put particular emphasis on encouraging members of groups that are underrepresented in the teaching of science, technology, engineering, mathematics, or critical foreign languages to participate in the program. In addition, the program prioritizes grantees whose primary focus is on placing participants in high-need local educational agencies.

The program supports two types of activities:

Baccalaureate Degrees in STEM and Critical Foreign Languages: The program provides competitive grants to enable partnerships to develop and implement programs that provide courses of study in science, technology, engineering, mathematics, or critical foreign languages that are integrated with teacher education and would lead to a baccalaureate degree in the primary subject matter with a concurrent teacher certification.

Master's Degrees in STEM and Critical Foreign Languages: The program provides competitive grants to enable partnerships to develop and implement programs that provide 2- or 3-year part-time master's degree programs in science, technology, engineering, mathematics, or critical foreign language education for teachers in order to enhance the teacher's content knowledge and teaching skills; or programs for professionals in science, technology, engineering, mathematics, or a critical foreign language that lead to a 1-year master's degree in teaching that results in teacher certification.

### FY 2009 BUDGET REQUEST

For fiscal year 2009, the Administration requests no funding for the Teachers for a Competitive Tomorrow program. State and local entities may already use funds they receive under a number of other Department programs, including the Improving Teacher Quality State Grants program, Transition to Teaching program, and Troops-to-Teachers, to carry out the kinds of



## HIGHER EDUCATION

### Teachers for a competitive tomorrow

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activities supported through the Teachers for a Competitive Tomorrow program. The Department also supports similar activities under the current Title VI and FIPSE programs. Additionally, the program is duplicative of NSF's Robert Noyce Scholarship program, with its specific focus on training math and science teachers. The Administration believes that the resources used to support the Teachers for a Competitive Tomorrow program should be shifted to existing programs and initiatives that have greater potential to be effective in improving teacher quality.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Baccalaureate Program:</b>			
Number of new awards	0	4	0
Average new award	0	\$225	0
Total new award funding	0	\$900	0
<b>Master's Program:</b>			
Number of new awards	0	4	0
Average new award	0	\$225	0
Total new award funding	0	\$900	0
Evaluation	0	10	0
Peer review of new award applications	0	156	0
Total program funding	0	1,966	0
Total number of awards	0	8	0

#### PROGRAM PERFORMANCE INFORMATION

While the Department is still in the process of developing performance measures for the Teachers for a Competitive Tomorrow program, we are considering parallel measures for the two parts of the program. The Department is discussing measures for this program that are consistent with the measures for comparable programs in the Department (for example, Transition to Teaching and Troops to Teachers).

## HIGHER EDUCATION

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### Teacher quality enhancement

(Higher Education Act of 1965, Title II, Part A)

FY 2009 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s):

	<u>2008</u>	<u>2009</u>	<u>Change</u>
	\$33,662	0	-\$33,662

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<sup>1</sup> The authorization will expire on March 31, 2008; reauthorizing legislation is not sought.

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### PROGRAM DESCRIPTION

The Teacher Quality Enhancement program is designed to improve the way our Nation recruits, prepares, licenses, and supports teachers by providing incentives, encouraging reforms, and leveraging local and State resources to ensure that current and future teachers have the necessary teaching skills and academic content knowledge to teach effectively. The following three types of grants are awarded on a competitive basis to States and partnerships:

State Grants — Grants to States are provided to improve the quality of the teaching force. States may use grant funds to hold institutions of higher education accountable for preparing competent teachers; reform teacher licensing and certification requirements; provide alternative methods of teacher preparation; provide alternative routes to State certification; develop mechanisms to ensure the effective recruitment and payment of highly qualified teachers; address the problem of social promotion; and award scholarships to prospective teachers. Competitive preference is provided to States that are likely to yield successful and sustained results in reforming State teacher licensure and certification requirements to improve teacher competency, holding institutions of higher education accountable for preparing competent teachers, and reducing the shortage of highly competent teachers.

Partnership Grants — Grants to partnerships that consist of at least one institution of higher education with a teacher training program, one school of arts and sciences, and one high-need local educational agency are provided to implement a wide-range of reforms and improvements in teacher preparation programs. Grant funds must be used to implement reforms to hold teacher preparation programs accountable for preparing highly competent teachers; providing high-quality clinical experience and interaction; and creating opportunities for professional development. Funds may also be used to prepare teachers to work with diverse student populations and involve parents; disseminate information on effective practices and coordinate with State activities; implement mechanisms to provide administrators with managerial and leadership skills; and award scholarships to prospective teachers.

Recruitment Grants — Grant funds are used to award scholarships for the tuition, room, board, and other expenses needed to complete a teacher preparation program, provide support services to scholarship recipients, provide follow-up services to former scholarship recipients, and implement effective mechanisms to ensure that local educational agencies are able to effectively recruit highly qualified teachers. Scholarship recipients are required to teach in a

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### Teacher quality enhancement

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high-need local educational agency for a period of time that is equal to the period of time for which they received scholarship assistance. If they do not, scholarship recipients are required to repay the proportion of their scholarship associated with the amount of their unmet service obligation, in addition to accrued interest and collection costs.

According to the authorizing statute, 45 percent of the funds are for State Grants, 45 percent of the funds are for Partnership Grants, and 10 percent of the funds are for Recruitment Grants. Because the level of demand for program funds has not matched this funding ratio, in the last four fiscal years Congress included appropriations language over-riding this ratio and allowing the Department to allocate funding according to demand. States are eligible to receive State Grants and Recruitment Grants for up to 3 years each and partnerships are eligible to receive Partnership Grants and Recruitment Grants for up to 5 years each. States and partnerships are limited to receiving only one grant under each category and must match 50 percent of the grant amount in cash or in kind, except that partnerships may match 25 percent and 35 percent of the grant amount in the first and second years, respectively.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$88,888
2005.....	68,337
2006.....	59,895
2007.....	59,895
2008.....	33,662

### FY 2009 BUDGET REQUEST

For fiscal year 2009, the Administration requests no funding for the Teacher Quality Enhancement program. State and local entities may already use funds they receive under a number of other Department programs, including the Improving Teacher Quality State Grants program, the Transition to Teaching program, and the Teacher Incentive Fund, to carry out the kinds of activities supported through the Teacher Quality Enhancement program. The Administration believes that the resources previously used to support the Teacher Quality Enhancement program should be shifted to higher-priority programs and initiatives that have greater potential to be effective in improving teacher quality.

All of the activities allowable under the Teacher Quality Enhancement program can be carried out under other existing programs. For example, the Improving Teacher Quality State Grants program focuses on preparing, training, and recruiting high-quality teachers. Under that program, States may use funds to reform teacher and principal certification/licensing requirements, support alternative routes to State certification, support teacher and principal recruitment and retention initiatives, and initiate innovative strategies to improve teacher quality.

Additionally, under that program, States are required to award subgrants on a competitive basis to partnerships that are structured similarly to the partnerships mandated under the Teacher Quality Enhancement program and consist of at least one institution of higher education, one high-need local educational agency, and one other entity. Partnerships may receive funds to

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support new teacher and principal recruitment and retention initiatives as well as to support a broad range of innovative initiatives to improve teacher quality, including teacher and principal mentoring, teacher testing, reforming tenure systems, merit pay, signing bonuses and other financial incentives, and pay differentiation initiatives. The Transition to Teaching program is intended to help mitigate the shortage of qualified licensed or certified teachers in many of our Nation's schools by, among other things, encouraging the development and expansion of alternative routes to certification. The program provides funds to States, local educational authorities and partnerships to support efforts to recruit, train, and place high-quality teachers in high-need schools and school districts. The Teacher Incentive Fund provides States and local educational authorities with resources to reward teachers for increasing student achievement or teaching in the most challenging schools and to employ performance-based compensation strategies for improving teacher quality. These three programs are better designed to provide the services previously funded by the Teacher Quality Enhancement program.

In fiscal year 2009, the Administration is requesting \$3.4 billion for programs designed to improve teacher quality. The Administration's request to eliminate funding for the Teacher Quality Enhancement program would reduce duplication and ensure that Federal resources are focused on programs and strategies with greater potential to be effective.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	2008	2009
State Grants:			
Number of NCC awards	2	0	0
Average NCC award	\$2,078 <sup>1</sup>	0	0
Total NCC award funding	\$2,078	0	0
Total award funding	\$2,078	0 <sup>2</sup>	0
Total number of awards	2	0	0
Partnership Grants:			
Number of new award	0	26	0
Average new award	0	\$1,010	0
Total new award funding	0	\$26,249	0
Number of NCC awards	29	23	0
Average NCC award	\$1,191	\$1,124	0
Total NCC award funding	\$34,528	\$25,851	0

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<sup>1</sup> Excludes a \$1 award made to Guam, which did not receive its full continuation award because of excessive carry-over funds.

<sup>2</sup> Reflects the enactment of appropriations language to override of the statutory requirement that 45 percent of program funds be used for State Grants, 45 percent for Partnership Grants, and 10 percent for Recruitment Grants.

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### Teacher quality enhancement

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Partnership Grants (continued):			
Total award funding	\$34,528	\$52,100 <sup>1</sup>	0
Total number of awards	29	49	0
Recruitment Grants:			
Number of new award	9	0	0
Average new award	\$744	0	0
Total new award funding	\$6,697	0	0
Number of NCC awards	20	9	0
Average NCC award	\$830	\$800	0
Total NCC award funding	\$16,592	\$7,197	0
Total award funding	\$23,289	\$7,197 <sup>1</sup>	0
Total number of awards	29	9	0
Peer review of new award applications	0	598	0
Total program funding	\$59,895	\$59,895	0
Total number of awards	60	58	0

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<sup>1</sup> Reflects the enactment of appropriations language to override of the statutory requirement that 45 percent of program funds be used for State Grants, 45 percent for Partnership Grants, and 10 percent for Recruitment Grants.

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years, and the resources and efforts invested by those served by this program.

**Goal: To improve the quality of teacher education and initial certification standards, and to improve the knowledge and skills of all teachers, particularly new teachers and teachers who work in high-need areas.**

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**Objective:** *To improve the subject matter competency of new teachers.*

<b>Measure:</b> Percentage of pre-service teachers taking and passing subject matter competency tests as part of State licensure requirements.		
Year	Targets	Actual
2004		95
2005	95	96
2006	96	100
2007	96	92
2008	96	

**Assessment of progress:** This performance indicator only relates to the Teacher Quality Enhancement State program and data for this indicator come from the national reporting system on the quality of teacher preparation that is mandated under Title II of the Higher Education Act. States report on student outcomes for a variety of tests, as well as report a single "summary rate" that reflects the total of the graduates' testing experience. The data for this measure are derived from the summary rate reported by States funded in the applicable year. Performance on this indicator improved from 2004-2006 and the program reached its performance target for the first time in 2004 and exceeded its target for 2 years. However, in 2007 performance dropped considerably and the program did not meet its target in that year. Future data will indicate whether the 2007 data are a 1-year aberration or part of a larger pattern. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

**Objective:** *To increase the number of pre-service teachers that leave teacher preparation programs adequately prepared to teach.*

<b>Measure:</b> The percentage of program completers who are highly qualified teachers.		
Year	Targets	Actual
2004		84
2005	80	95
2006	95	97
2007	95	99
2008	95	

**Assessment of progress:** This performance indicator only relates to the Teacher Quality Enhancement Partnership program and is the percentage of program completers who are highly qualified teachers, using the definition of a highly qualified teacher that is contained in Title IX, Section 9101 of the Elementary and Secondary Education Act (ESEA). According to this definition, a highly qualified program completer is a graduate of a teacher preparation program with a bachelor's degree, subject area competence established through testing, and certification from state licensing authorities. The definition of program completion allows for a reasonable period of time for graduates to pass certification examinations. Data for this indicator are collected through the revised annual performance reports. Performance on this indicator has steadily improved since 2004 and reached 99 percent in 2007. No targets are shown for 2009 because the Administration is not requesting funding for this program in fiscal year 2009.

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### Teacher quality enhancement

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#### Efficiency Measures

The efficiency measure for this program is the cost of a successful outcome, where success is defined as the graduation of a highly qualified teacher (according to the ESEA definition) from an institution of higher education that receives funds under the Teacher Quality Enhancement Partnership program. This measure was created in response to the recommendations that came out of the PART process. The measure ties in with the Partnership program's performance measure and data for both come from the annual performance reports.

<b>Measure:</b> Cost per program completer.	
<b>Year</b>	<b>Actual</b>
2005	\$4,728
2006	\$4,427
2007	\$3,459

The efficiency measure is calculated by dividing the total funding provided to Partnership program grantees in each year by the number of highly qualified teacher candidates graduating from grantee postsecondary institutions in the same year. No targets have been established for this measure.

The Department will use efficiency measure data, along with other performance information, to produce a program performance report that includes a grantee-level analysis and expects the report to be complete during fiscal year 2008. The efficiency measure, along with the grantee-level analysis, will provide program managers with performance information that can assist in identifying grantees that are performing at different levels and could be used to focus technical assistance efforts where they can be most effective and highlight best practices. There may also be opportunities to utilize efficiency measure data to compare the relative efficiency of the Teacher Quality Enhancement program to other programs that provide similar services.

#### Other Performance Information

A 4-year national evaluation of the Partnership program was initiated in fiscal year 2001. The evaluation examined implementation of the Partnership grants. The evaluation found that the grantees had formed meaningful partnerships in which collaboration was pervasive and sustained and enjoyed support at both the staff and leadership levels, and that the Partnerships were targeting high need schools and school districts. The evaluation also found that the Partnerships had substantive impacts on teacher preparation programs, noting particularly the impact the grant had on improving the alignment of course work with State standards and in increasing the amount of field experience that pre-service teachers were exposed to. The research also noted positive changes in the supervision of student teachers and the fact that many of the Partnerships followed the Professional Development School reform model, where education faculty are in residence at schools where their students are doing their student teaching. These are all attributes that previous research has found to be associated with improvements in teacher quality. Overall, the research found that the implementation of Partnership grants was largely in line with the legislative expectations for the program.

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### Teacher quality enhancement

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#### Followup on PART Findings and Recommendations

The Teacher Quality Enhancement program was assessed using the PART in 2003 and received a Results Not Demonstrated rating. This rating was based on the fact that data were not yet available to evaluate the effectiveness of the program.

The PART assessment also noted several significant deficiencies that limit the program's effectiveness:

- The authorizing statute mandates that program funds be divided between the State, Partnership, and Recruitment programs according to a 45:45:10 ratio. This ratio does not reflect the demand for program funds and it has resulted in funds being lapsed in previous years. Beginning in fiscal year 2005, Congress has provided appropriations language overriding the statutory funding ratio, thus allowing the Department to allocate funding according to the level of demand.
- Under the State program, States and eligible territories can only receive one grant. At this time, 52 States and territories have received funding under the program and, as there have already been five competitions for the program, it is not clear whether the remaining eligible entities are interested in receiving funding under the program.
- The authorizing statute does not provide resources for evaluation. As a result, funding available from the funds set aside for GPRA Data/HEA Program Evaluation activities have been inadequate to provide for any evaluations of the State and Recruitment programs, although an evaluation of the Partnership program has been conducted.
- The program provides inadequate support for alternative certification programs.
- The authorizing statute creates redundancies within the program; all of the activities of the Recruitment program can be carried out under the State and Partnership programs.

The PART improvement plan recommendations are presented below, followed by a description of the Department's corrective actions.

- *Develop and implement a strategy for making program performance data accessible to the public in a transparent way.* The Department is working to develop a performance report that includes grantee-level program and performance data and analysis of the program. It is expected that this will be posted to the Department's website by June 2008 and will be available to both grantees and the public at large. In addition, an issue brief of the evaluation of the partnership grants, along with a link to the evaluation report itself, is currently available on the Department's website.
- *Develop long-term and annual measures and efficiency measures, collect baseline data, and establish appropriate targets.* The Department created the necessary long-term, annual, and efficiency measures and has collected at least 4 years of data for each measure. Targets were established for the annual and long-term performance measures. Targets for the efficiency measure will be created by the end of 2008 on the basis of grantee-level analysis.



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### Teacher quality enhancement

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- *Assess the results of the recently completed evaluation and utilize those findings to evaluate program performance and modify program management where appropriate.* The Department is currently studying the evaluation of the Partnership grants and will use the study, along with the grantee-level analysis, to identify program improvement opportunities. It is expected that improvements will be implemented by June 2008.

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### GPRA data/HEA program evaluation

(Department of Education Appropriations Act, 2008)

FY 2009 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$609	\$1,609	+\$1,000

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<sup>1</sup> The program is expected to be authorized in FY 2008 through appropriations language. The Administration proposes to continue funding this program in FY 2009 through appropriations language.

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### PROGRAM DESCRIPTION

The GPRA Data/HEA Program Evaluation program, first funded in fiscal year 2000, enables the Department to obtain data on performance measures needed to measure progress and to carry out evaluations of performance for Higher Education Act (HEA) programs that do not have funds available for such activities. Funds for this program also support the State teacher quality accountability reports required by Title II of the HEA, for which data are collected and reported annually.

The Department makes a determination each year about the specific kinds of data that are needed to assess the performance of individual programs and gives priority to those that are most critical. In the last 5 years, the majority of funds have been used to help the Department collect data that would otherwise not be available to assess the short- and long-term impacts of programs, and, thereby, to meet the requirements of the Government Performance and Results Act (GPRA) and the Administration's Program Assessment Rating Tool (PART) process.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$988
2005.....	980
2006.....	970
2007.....	970
2008.....	609

### FY 2009 BUDGET REQUEST

The Administration requests funding of \$1.6 million for GPRA Data/HEA Program Evaluation activities in fiscal year 2009, an increase of \$1 million. These funds are necessary to collect and analyze performance data and to conduct program evaluations for those higher education programs that lack funding set-asides to do so. Timely performance information is essential to comply with reporting requirements, assess program effectiveness, make program

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### **GPRA data/HEA program evaluation**

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improvements, and inform budgetary decisions. GPRA Data/HEA Program Evaluation funds are a critical source of data for program improvement activities and provide data that help inform the PART process. Continued funding will ensure that higher education programs have access to the performance information necessary to comply with reporting requirements, assess program effectiveness, make program improvements, and inform budgetary decisions. Additionally, these funds are necessary to continue collecting data for the State teacher quality accountability reports required by Title II of the HEA.

The increased funding will allow the Department to initiate an effort to move beyond descriptive program studies to more rigorous studies of program interventions and best practices. Ultimately, these types of studies will help the Department improve program design and management efforts as well as help advance the field of education by assisting faculty and teachers better understand what works, for what students, and under what circumstances. These new approaches are enabled, in part, by the Department's new Grants Electronic Monitoring System, which provides increased access to data on all programs administered by the Office of Postsecondary Education.

In addition, fiscal year 2009 funds will be used to continue program evaluations to be initiated in fiscal year 2008, such as studies of the Minority Science and Engineering Improvement Program, the Fund for the Improvement of Postsecondary Education, and the National Resource Centers that are funded as part of the International Education and Foreign Language Studies Domestic Program. These studies will provide the Department with critical performance data regarding these programs' outcomes and effectiveness and will allow the Department to address program management and implementation issues.

Fiscal year 2009 funds will also be used to support the State teacher quality accountability reporting system. This system gathers data from all 50 states, the District of Columbia, Puerto Rico, Guam and the Virgin Islands on such topics as the completion rates for traditional and alternative route teacher preparation programs, State teacher assessments and certifications, and use of waivers or emergency licenses. These data are then reported to Congress and the Nation through the Secretary's annual report on teacher quality and provide critical data on both the progress toward the Nation's goal of a highly qualified teacher in every classroom, and the areas where further improvements are needed. Funds will also be used to support the study of the Academic Competitiveness and SMART grants. This ongoing study is designed to examine the effectiveness of these programs in encouraging students to pursue more rigorous coursework in high school, to examine the relationship between rigorous coursework and college outcomes, and to understand the impact that need-based aid may have on student choice of major.

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### GPRA data/HEA program evaluation

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#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Accountability Data Collection</b>			
State teacher quality accountability report	\$333	\$249	\$259
<b>Program Evaluations</b>			
Academic competitiveness and SMART grants study	327	0	370
CCAMPIS study	310	0	0
Other Program Evaluations	0	360	580
<b>Program Intervention Studies</b>	0	0	400
Total program funding	970	609	1,609

#### PROGRAM PERFORMANCE INFORMATION

Since fiscal year 2000, GPRA Data/HEA Program Evaluation program funds have been used for data collection, analysis, or evaluation studies for 14 of the 18 programs authorized under HEA that do not have statutory authority to use program funds for such activities. These activities have played an important role in reporting performance data, making program improvements, informing budgetary decisions, and conducting PART assessments.

## HIGHER EDUCATION

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### Underground railroad program

(Higher Education Amendments of 1998, Title VIII, Part H)

FY 2008 Authorization (\$000s): 0<sup>1</sup>

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
\$1,945	0	-\$1,945

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<sup>1</sup> The GEPA extension expired September 30, 2004. This program is authorized in FY 2008 through appropriations language. The Administration is not proposing appropriations language for FY 2009, nor seeking reauthorizing legislation.

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### PROGRAM DESCRIPTION

The Underground Railroad program provides discretionary grants to one or more non-profit educational organizations that are established to research, display, interpret, and collect artifacts relating to the history of the Underground Railroad. These grants are used to establish facilities that house, display, and interpret artifacts, and to make the interpretive efforts available to institutions of higher education.

Organizations receiving funds must demonstrate substantial private support through a public-private partnership, create an endowment fund that provides for the ongoing operations of the facility, and establish a network of satellite centers throughout the United States to help disseminate information regarding the Underground Railroad. Also, organizations must submit, for each fiscal year for which the organization receives funding, a report to the Department containing a description, plan, and evaluation of the programs and activities supported by the funding and the audited financial statement of the organization for the preceding year.

Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	\$2,222
2005.....	2,204
2006.....	1,980
2007.....	1,980
2008.....	1,945

### FY 2009 BUDGET REQUEST

The Administration requests no funding for the Underground Railroad program for fiscal year 2009. Support for the Underground Railroad program was not intended to be a permanent Federal responsibility. Federal funds provided in prior fiscal years were sufficient to enable program grantees to make substantial progress in establishing websites that display and interpret artifacts relating to the history of the Underground Railroad, securing private support

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### Underground railroad program

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through public-private partnerships, creating endowment funds to support ongoing operations, and electronically linking Underground Railroad websites throughout the United States.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of new awards	2	4	0
Average new award	\$989	\$486	0
Total program funding	\$1,978	\$1,943	0
Peer review of new award applications	\$2	\$2	0
Total award funding	\$1,980	\$1,945	0

#### PROGRAM PERFORMANCE INFORMATION

##### Performance Measures

This section presents selected program performance information, including, for example, GPRA goals, objectives, measures, and performance targets and data; and an assessment of the progress made toward achieving program results. Achievement of program results is based on the cumulative effect of the resources provided in previous years and the resources and efforts invested by those served by this program.

**Goal: To provide grants to support research, exhibition, interpretation, and collection of artifacts related to the history of the Underground Railroad.**

**Objective: To measure support for research and education related to the history of the Underground Railroad.**

<b>Measure:</b> Percentage of Underground Railroad projects sustained beyond federal funding.		
Year	Target	Actual
2006	Set a baseline	100
2007	Maintain a baseline	
2008	Maintain a baseline	

**Assessment of progress:** Grantees are either on an October 2003-September 2006 schedule or an October 2004-September 2007-grant cycle. There were four projects in the 2003-2006 cycle. Two were sustained after the grant, and the other two were designed to produce research studies. Data for this measure will be derived from program performance reports submitted after the end of the grant period. Data are expected to be available February 2008 for some grantees.

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### Underground railroad program

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#### Other Performance Information

Grants made in prior fiscal years have succeeded in spreading the story of the Underground Railroad to the American people. One grantee, the National Underground Railroad Freedom Center (NURFC), located on the banks of the Ohio River in downtown Cincinnati, Ohio, opened in August 2004. The NURFC has made considerable progress (regionally and nationally) in increasing understanding and awareness of the Underground Railroad. The grantee has expanded Underground Railroad sites to 60 locations and will increase that number as a result of revisions to the network hardware for the Freedom Station Program; published a quarterly newsletter; added a library that has one of the largest collections in the world on slavery and slavery resistance; organized and led numerous meetings nationally with various organizations to advance appreciation of the Underground Railroad through increased collaborative programs and activities; and continued work on network software development to produce tutorials and other activities that use technology to promote awareness of the Underground Railroad. Between fiscal years 1999 and 2007, the NURFC received 61 percent, or just under \$11 million, of the \$17.9 million appropriated in the history of the Underground Railroad program.

The Freedom Center's first summer camp—Summer Freedom Journeys UGRR Camp—served nearly 5,000 youth during the months of July and August 2005; the Family Search Genealogy Center served more than 1,000 family research visitors each month in 2005 and provided Saturday genealogy workshops for the public; more than 67,000 school children toured the Freedom Center by the end of June 2005; two new Freedom Stations were confirmed—they include the California African-American Museum and the West Charter Historical Society; four Teacher Institutes were successfully launched; “Race Divides the Seminoles” Web Quest was completed and made available online and “The North Star: Harriet Tubman” website was completed; and the Freedom Center unveiled its first “Race Relations in Cincinnati Report.”

Another grantee—the Underground Railroad Research Institute at Georgetown College—has successfully completed many educational and preservation projects. The grantee designed college courses each semester on Underground Railroad history, preservation, and research; distributed a Quarterly Newsletter to over 700 members on its mailing list; established a Network Partners Program with over 15 Underground Railroad sites around the country; created an Underground Railroad website with links to various programs around the country; created and conducted Underground Railroad tours for students from 5th grade through college level to various underground railroad locations from South Carolina to Canada; conducted three Underground Railroad summits for over 500 people, each conference containing a "how to" section to teach research techniques and resources for teachers and community researchers; assisted in the on-going task of researching facts necessary to create heritage trails in Kentucky, Indiana, Wisconsin, Maryland, and New York; and sponsored research in various Kentucky, Tennessee, and Mississippi counties on escaped slave newspaper ads.

Still another grantee—the New York Historical Society—supports a major exhibition that deals comprehensively with the largely unexplored topic of slavery in New York and its many ramifications: social, political, and economic. A vital element is the history of the Underground Railroad. The New York Historical Society's production "Slavery in New York" opened on October 7, 2005, to much critical acclaim. It includes two major exhibits, public programs, walking tours, educational materials, and programs for school, college and adult learners.

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### **Underground railroad program**

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Significant emphasis is given to the display and interpretation of artifacts related to the Underground Railroad and its antecedents in New York, including the New York Manumission Society and the Vigilance Committee of New York.



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### **Advancing America through foreign language partnerships**

(America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act, Title VI, Subtitle C)

FY 2009 Authorization (\$000s): Indefinite

Budget Authority (\$000s):

<u>2008</u>	<u>2009</u>	<u>Change</u>
0	\$24,000	+\$24,000

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### PROGRAM DESCRIPTION

The Advancing America Through Foreign Language Partnerships program is part of a multi-agency effort to further strengthen national security and prosperity in the 21st century through education, especially in developing foreign language skills. Under the direction of the President, the Departments of Education, Defense, and State and the Office of the Director of National Intelligence are implementing the National Security Language Initiative (NSLI), a comprehensive national plan to expand foreign language education beginning in early childhood and continuing throughout formal schooling and into the workforce. NSLI seeks to address weaknesses in our teaching and learning of foreign languages, especially languages considered most critical for national security.

The purpose of the Advancing America Through Foreign Language Partnerships program is to increase significantly the number of American students who achieve the highest level of proficiency in critical foreign languages by providing opportunities to study critical foreign languages and the environments in which critical foreign languages are spoken. The program awards grants to institutions of higher education for partnerships with one or more local educational agencies to establish articulated programs of study in critical foreign languages that will enable students to advance successfully from elementary school through postsecondary education and achieve higher levels of proficiency in a critical foreign language. Programs are designed to train participants to reach "professional working proficiency" in a target language, as measured by the Federal Interagency Language Roundtable (ILR) Level 3 or by other generally recognized measures of superior standards. Students trained at this level are capable of reading the most sophisticated texts, understanding formal as well as colloquial and dialectal speech, and speaking with sufficient structural accuracy and vocabulary to participate effectively in most formal and informal conversations on practical, social, and professional topics.

Discretionary grants of up to 5 years in duration, of which 2 years may be for planning and development, are awarded competitively to eligible recipients. A grant may be renewed for not more than 2 additional 5-year periods, if the Department determines that the partnership's program is effective and the renewal would best serve the purposes of the program. The grantee must match an amount equal to 20 percent of the amount of the grant in the first year in cash or in-kind to support the cost of carrying out the activities of the grant. The match

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### Advancing America through foreign language partnerships

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increases by 10 percent each year, to 50 percent in each of the fourth and fifth years of the grant. Applications submitted under the program must:

- Identify each local educational agency partner, including contact information and letters of commitment, and describe the responsibilities of each member of the partnership;
- Describe how an articulated curriculum for students would be developed and implemented;
- Identify target proficiency levels for students at critical benchmarks (such as grades 4, 8, and 12), and describe how progress toward those proficiency levels would be assessed at the benchmarks, and how the program would use the results of the assessments to ensure continuous progress toward achieving a superior level of proficiency at the postsecondary level;
- Describe how the partnership would ensure that students who are beginning postsecondary education would be assessed and enabled to progress to a superior level of proficiency;
- Describe how the partnership would support and continue the program after the grant has expired; and
- Describe what assessments would be used or, if assessments are not available, how assessments would be developed.

Partnerships must use their grant funds to plan, develop, and implement programs at the elementary school level through postsecondary education, including the development of curriculum and instructional materials and recruitment of students. Furthermore, partnerships may use their funds for teacher recruitment and professional development; development of appropriate assessments; opportunities for maximum language exposure for students in the program, such as the creation of immersion environments and special tutoring and academic support; dual language immersion programs; scholarships and study-abroad opportunities for postsecondary students and newly recruited teachers who have advanced levels of proficiency in a critical foreign language; activities to encourage community involvement; summer institutes for students and teachers; bridge programs that allow dual enrollment for secondary school students in institutions of higher education; programs that expand the understanding and knowledge of historic, geographic, and contextual factors within countries with populations who speak critical foreign languages; research on, and evaluation of, the teaching of critical foreign languages; data collection and analysis regarding the results of various student recruitment strategies, program design, and curricular approaches; the impact of the strategies, program design, and curricular approaches on increasing the number of students studying critical foreign languages, and the proficiency of the students in the critical foreign languages; and distance learning projects for critical foreign language learning.

The Department must enter into a contract to establish a technical assistance center that would provide technical assistance to partnerships in the development of critical foreign language instructional materials and assessments; and disseminate promising foreign language instructional practices. For the Advancing America Through Foreign Language Partnerships

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### Advancing America through foreign language partnerships

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program, the Department may reserve not more than 5 percent of the amount appropriated annually to evaluate language programs that have been created. In addition, the Department must submit an annual report to Congress on the results of any program evaluation.

#### FY 2009 BUDGET REQUEST

The Administration requests \$24 million in fiscal year 2009 for the Advancing America Through Foreign Language Partnerships program to establish articulated language programs of study in languages critical to U.S. national security through grants to institutions of higher education for partnerships with school districts for language learning from kindergarten through high school and into advanced language learning at the postsecondary level.

The Advancing America Through Foreign Language Partnerships program operates following the model created under the National Flagship Language Initiative (NFLI) adopted and authorized as part of the Intelligence Authorization Act for Fiscal Year 2003 (P.L. 107-306) and developed under the auspices of the National Security Education Program (NSEP). NFLI programs have been developed at several U.S. institutions of higher education for advanced language training in Arabic, Korean, Mandarin Chinese, Persian, and Russian. In September 2005, the Department of Defense (DOD) and the NFLI started a pilot K-16 Chinese program partnered by the University of Oregon's Center for Applied Second Language Studies and the Portland Public School district to develop a model for a fully articulated program of language study linking the NSEP National Flagship Language universities with local school districts for language learning from the elementary grades into high school and into advanced Chinese at the university level. This unique program is the first in the Nation and serves as a national model. The Department seeks to expand on the DOD's pilot K-16 Mandarin Chinese program by awarding an additional 24 grants to institutions of higher education for partnerships with school districts for programs of language study in a variety of languages critical to national security. The K-16 pipeline model envisions a long-term strategy that would rapidly replicate and expand the number of programs across the United States.

The attacks of September 11, 2001, called the Nation's attention again to the need for skilled professionals with competency in languages critical to U.S. national security. These language programs, coupled with directed and targeted fellowships for individual students, would produce significant numbers of graduates, many of whom would be candidates for employment with agencies and offices of the Federal Government, across a broad range of disciplines with advanced levels of proficiency in critical foreign languages. The Advancing America Through Foreign Language Partnerships program would focus on critical foreign languages such as: Arabic, Chinese, Japanese, Korean, Russian, as well as Indic, Iranian, and Turkic language families.

The Advancing America Through Foreign Language Partnerships program is intended to complement, not duplicate, other Federal programs that provide support for foreign language and areas studies education, such as those authorized under Title VI of the HEA, the Fulbright-Hays Act, Title V-Part D of the Elementary and Secondary Education Act (ESEA), and other legislation. The Department is proposing to undertake the expansion of this program because the goals of the program fit within the Department's mission and the program complements other Department activities relating to the teaching and learning of foreign languages. These

## HIGHER EDUCATION

### Advancing America through foreign language partnerships

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programs include the HEA Title VI programs that are the Federal Government's primary effort to develop and maintain a national infrastructure to produce expertise in foreign languages, area studies, and other international studies, including international business.

#### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2009</u>
Number of new awards	24
Average new award	\$924
Total new award funding	\$22,180
Technical assistance center	\$500
Evaluation	\$1,200
Peer review of new award applications	\$120
Total award funding	\$24,000
Total number of awards	24

## HIGHER EDUCATION

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### College access challenge grants

(Higher Education Act of 1965, Title VII, Part E)

FY 2009 Authorization (\$000s): \$66,000<sup>1</sup>

Budget Authority (\$000s):

	<u>2008</u>	<u>2009</u>	<u>Change</u>
	\$66,000 <sup>2</sup>	\$66,000 <sup>2</sup>	0

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<sup>1</sup> The authorization for this mandatory program will expire on September 30, 2009.

<sup>2</sup> Mandatory funds are made available by the College Cost Reduction And Access Act, P.L. 110-84 (September 27, 2007; 121 Stat. 784). These funds are not part of the Administration's fiscal year 2009 budget request.

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### PROGRAM DESCRIPTION

The College Access Challenge Grant program is designed to foster partnerships among Federal, State and local government entities and philanthropic organizations through matching challenge grants aimed at increasing the number of underrepresented students who enter and remain in postsecondary education. Program funds are awarded as 2-year formula grants to States (or to philanthropic organizations if a State does not meet program requirements) based on the relative number of persons between the ages of 5 and 17 and 15 and 44 living below the poverty line with no State receiving less than a half of one percent of the funds appropriated for a fiscal year. Poverty status data for participating States will be obtained from the Census Bureau.

Funds awarded under the College Access Challenge Grant program may be used for a variety of activities, including providing information to students and families on postsecondary education planning, benefits, opportunities, financing options and career preparation; assisting students in completing the Free Application for Federal Student Aid (FAFSA); engaging in outreach activities; offering professional development for middle and secondary guidance counselors and college student financial aid and admissions administrators; providing need-based grant aid; repaying student loans or subsidizing lower interest rates; and offering tutoring/mentoring services, and other support services. Grantees must give students in families with incomes below the poverty line priority for activities and services supported through this program. States receiving grants under the College Access Challenge Grant program may award subgrants to one or more nonprofit organizations or a partnership of such organizations to carry out these activities.

States are guaranteed a minimum allocation of no less than 0.5 percent of the total amount appropriated for the program in each fiscal year. The statute requires a non-Federal matching contribution of not less than 1/3 of the costs of the project activities and services, which may be provided through in-kind and/or cash contributions. States may use no more than 6 percent of sum of the Federal grant and the required non-Federal share amount for administrative purposes.

## HIGHER EDUCATION

### College access challenge grants

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Funding levels for the past 5 fiscal years were:

	(\$000s)
2004.....	0 <sup>1</sup>
2005.....	0 <sup>1</sup>
2006.....	0 <sup>1</sup>
2007.....	0 <sup>1</sup>
2008	\$66,000

<sup>1</sup> The program was not authorized prior to 2008.

### FY 2009 BUDGET REQUEST

Mandatory funding of \$66 million in 2008 and 2009 was appropriated through the College Cost Reduction And Access Act of 2007. These amounts are not part of the Administration's fiscal year 2009 budget request.

### PROGRAM OUTPUT MEASURES (\$000s)

	<u>2007</u>	<u>2008</u>	<u>2009</u>
Number of formula grants	0	57	57
Average award	<u>0</u>	<u>\$1,158</u>	<u>\$1,158</u>
Total award funding	0	\$66,000	\$66,000

## HIGHER EDUCATION

### Byrd Honors Scholarships

State or Other Area	2007 Actual	2008 Actual	2009 Estimate	Change from 2008 Actual
Alabama	592,500	603,000	0	-603,000
Alaska	102,000	97,500	0	-97,500
Arizona	837,000	849,000	0	-849,000
Arkansas	364,500	369,000	0	-369,000
California	5,241,000	5,067,000	0	-5,067,000
Colorado	628,500	612,000	0	-612,000
Connecticut	466,500	454,500	0	-454,500
Delaware	105,000	108,000	0	-108,000
District of Columbia	60,000	58,500	0	-58,500
Florida	2,203,500	2,143,500	0	-2,143,500
Georgia	1,248,000	1,296,000	0	-1,296,000
Hawaii	156,000	156,000	0	-156,000
Idaho	201,000	208,500	0	-208,500
Illinois	1,750,500	1,720,500	0	-1,720,500
Indiana	876,000	847,500	0	-847,500
Iowa	366,000	382,500	0	-382,500
Kansas	363,000	370,500	0	-370,500
Kentucky	531,000	535,500	0	-535,500
Louisiana	616,500	583,500	0	-583,500
Maine	156,000	156,000	0	-156,000
Maryland	763,500	733,500	0	-733,500
Massachusetts	793,500	784,500	0	-784,500
Michigan	1,399,500	1,360,500	0	-1,360,500
Minnesota	667,500	673,500	0	-673,500
Mississippi	400,500	406,500	0	-406,500
Missouri	748,500	762,000	0	-762,000
Montana	112,500	118,500	0	-118,500
Nebraska	231,000	234,000	0	-234,000
Nevada	334,500	333,000	0	-333,000
New Hampshire	172,500	165,000	0	-165,000
New Jersey	1,180,500	1,131,000	0	-1,131,000
New Mexico	265,500	271,500	0	-271,500
New York	2,463,000	2,434,500	0	-2,434,500
North Carolina	1,146,000	1,141,500	0	-1,141,500
North Dakota	75,000	78,000	0	-78,000
Ohio	1,515,000	1,504,500	0	-1,504,500
Oklahoma	454,500	472,500	0	-472,500
Oregon	466,500	462,000	0	-462,000
Pennsylvania	1,563,000	1,537,500	0	-1,537,500
Rhode Island	135,000	129,000	0	-129,000
South Carolina	556,500	559,500	0	-559,500
South Dakota	102,000	103,500	0	-103,500
Tennessee	750,000	772,500	0	-772,500
Texas	3,328,500	3,378,000	0	-3,378,000
Utah	379,500	402,000	0	-402,000
Vermont	75,000	75,000	0	-75,000
Virginia	979,500	960,000	0	-960,000
Washington	814,500	826,500	0	-826,500
West Virginia	210,000	210,000	0	-210,000
Wisconsin	714,000	712,500	0	-712,500
Wyoming	63,000	64,500	0	-64,500
American Samoa	60,000	60,000	0	-60,000
Guam	60,000	60,000	0	-60,000
Northern Mariana Islands	60,000	60,000	0	-60,000
Puerto Rico	577,500	567,000	0	-567,000
Virgin Islands	60,000	60,000	0	-60,000
Freely Associated States	48,000	60,000	0	-60,000
Indian set-aside	0	0	0	0
Other (non-State allocations)	0	1,230	0	-1,230
<b>Total</b>	<b>40,590,000</b>	<b>40,283,730</b>	<b>0</b>	<b>-40,283,730</b>

## HIGHER EDUCATION

### College Access Challenge Grants

State or Other Area	2007 Actual	2008 Estimate	2009 Estimate	Change from 2008 Estimate
Alabama	0	1,128,810	1,128,810	0
Alaska	0	330,000	330,000	0
Arizona	0	1,348,705	1,348,705	0
Arkansas	0	706,129	706,129	0
California	0	7,678,868	7,678,868	0
Colorado	0	852,698	852,698	0
Connecticut	0	419,180	419,180	0
Delaware	0	330,000	330,000	0
District of Columbia	0	330,000	330,000	0
Florida	0	3,116,708	3,116,708	0
Georgia	0	2,089,027	2,089,027	0
Hawaii	0	330,000	330,000	0
Idaho	0	330,000	330,000	0
Illinois	0	2,411,050	2,411,050	0
Indiana	0	1,223,581	1,223,581	0
Iowa	0	474,145	474,145	0
Kansas	0	501,584	501,584	0
Kentucky	0	1,019,425	1,019,425	0
Louisiana	0	1,239,533	1,239,533	0
Maine	0	330,000	330,000	0
Maryland	0	615,592	615,592	0
Massachusetts	0	879,879	879,879	0
Michigan	0	2,092,786	2,092,786	0
Minnesota	0	735,025	735,025	0
Mississippi	0	932,499	932,499	0
Missouri	0	1,148,535	1,148,535	0
Montana	0	330,000	330,000	0
Nebraska	0	330,000	330,000	0
Nevada	0	383,809	383,809	0
New Hampshire	0	330,000	330,000	0
New Jersey	0	1,097,047	1,097,047	0
New Mexico	0	556,798	556,798	0
New York	0	4,017,131	4,017,131	0
North Carolina	0	1,898,671	1,898,671	0
North Dakota	0	330,000	330,000	0
Ohio	0	2,268,044	2,268,044	0
Oklahoma	0	915,434	915,434	0
Oregon	0	697,006	697,006	0
Pennsylvania	0	2,105,061	2,105,061	0
Rhode Island	0	330,000	330,000	0
South Carolina	0	989,701	989,701	0
South Dakota	0	330,000	330,000	0
Tennessee	0	1,410,814	1,410,814	0
Texas	0	6,262,491	6,262,491	0
Utah	0	433,354	433,354	0
Vermont	0	330,000	330,000	0
Virginia	0	1,010,008	1,010,008	0
Washington	0	1,116,302	1,116,302	0
West Virginia	0	448,769	448,769	0
Wisconsin	0	911,111	911,111	0
Wyoming	0	330,000	330,000	0
American Samoa	0	330,000	330,000	0
Guam	0	330,000	330,000	0
Northern Mariana Islands	0	330,000	330,000	0
Puerto Rico	0	2,594,690	2,594,690	0
Virgin Islands	0	330,000	330,000	0
Freely Associated States	0	330,000	330,000	0
Indian set-aside	0	0	0	0
Other (non-State allocations)	0	0	0	0
<b>Total</b>	<b>0</b>	<b>66,000,000</b>	<b>66,000,000</b>	<b>0</b>